

SECURITIES LITIGATION

Includes all matters related to fraud under the federal and state securities laws.

EXPERIENCE REQUIREMENTS: As documented below, within the past five years, the applicant must have competently performed to completion substantially all legal work, including the preparation or supervising of the preparation of all legal documents, in not less than three filed securities litigation matters through final resolution. At least one of these cases must have included a mediation. Further, at least one of these cases must have involved allegations of securities fraud, and one of these cases (it can be the same case) must have involved allegations of faulty advice given by a broker-dealer.

In addition, either (1) at least one of the listed securities litigation matters must have included a jury trial taken to verdict; or (2) the applicant has taken at least one matter to jury verdict in another area of practice; or (3) the applicant must provide evidence that, within the past five years, he or she has attended a formal legal education program, either as a student or a practicing attorney, that, in the discretion of the LRIS Committee, demonstrates a sufficient level of litigation training. Such programs generally must have included at least 30 hours of training in all areas of trial practice. Approved training programs include the San Diego Inn of Court, but another program may be accepted if the applicant provides evidence that it is of similar depth and scope. Such evidence should include, if available, a substantive description of the program published by the program provider.

Cases

	<u>Title of Case</u>	<u>Court</u>	<u>Case #</u>	<u>Date Filed</u>	<u>Resolution</u>
(1)					
(2)					
(3)					

Trial Experience or Training (if none of the case listed above included a jury trial)

Jury Trial:	<u>Title of Case</u>	<u>Court</u>	<u>Case #</u>	<u>Date Filed</u>	<u>Resolution</u>

OR:

Training: Title of Program Dates Attended Hours of Training Subjects Covered

EDUCATION REQUIREMENTS: In addition to the requirements above, an applicant practicing law for less than three years must certify that he or she has completed not less than four hours of State Bar approved MCLE credits in the subject area of the panel for each year of practice. An applicant practicing law for three or more years must certify that he or she has completed not less than six hours of State Bar approved MCLE credits in the subject area of the panel during the three years preceding the application.

RECOMMENDATIONS: The applicant must provide two LRIS “Recommendation of Professional Qualification” forms from licensed lawyers who practice in the same area for which the applicant is applying, or from state or federal judges sitting in California, attesting to the applicant’s qualifications in the area for which he or she is applying. (If the recommender is a practicing lawyer, he or she should be licensed in California unless the practice area involves federal law only.) These form letters must specifically reflect the authors’ knowledge of the applicant’s qualifications and include the authors’ opportunity to observe the applicant’s qualifications in the area for which he or she is applying. If these form letters are from lawyers, those lawyers may not be affiliated with the applicant’s firm, and the applicant may not have any economic interest with them.

I hereby certify under penalty of perjury that I have met the above criteria and requirements, and that I am competent to handle referral matters in the panel subject area described above.

Attorney’s Name: _____

Attorney’s Signature: _____ Date: _____