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File Last Updated: 3/24/00

I. Profession Accrediting Agency or Jurisdiction Date of Admission

ATTORNEY NEW YORK STATE JAN 1984

II. Professional Organization Date of Admission Active/Inactive

NASD – ARBITRATOR 1986 ACTIVE
NASD – MEDIATOR 1997 ACTIVE

III. General professional experience:

MY PRACTICE IS PRIMARILY IN THE SECURITIES ARENA, INVOLVING BROKER DEALER ISSUES, REGULATORY ISSUES, SEC AND STATE ISSUES. I HAVE WORKED AT THE NEW YORK STOCK EXCHANGE, IN-HOUSE FOR BROKER-DEALERS, OUTSIDE COUNSEL TO BROKER-DEALERS.

I REPRESENT BUSINESSES INVOLVED IN INTERNATIONAL FINANCING.

IV. General pertinent experience:

SEE ABOVE AND BELOW.

V. Mediation training:

BECAME A CERTIFIED MEDIATOR IN 1997 AND HAVE SUCCESSFULLY MEDIATED NUMEROUS CASES IN THE SECURITIES ARENAS.

VI. Pertinent bankruptcy training:

INVOLVED WITH CLIENTS WHO HAVE FILED FOR BANKRUPTCY.

VII. General pertinent business or legal experience :

I WAS EMPLOYED AS ARBITRATION COUNSEL AT THE NYSE FROM 1984-1986. THIS EXPOSED ME TO ALL ASPECTS OF THE SECURITIES INDUSTRY AND THE ARBITRATION PROCESS. I THEN MOVED TO THOMSON McKINNON SECURITIES, INC. (TMSI) IN 1986 AS ASSISTANT GENERAL COUNSEL. DURING MY EMPLOYMENT AT TMSI, I WORKED ON LITIGATION FOR THE FIRM INVOLVING CASES BROUGHT BY CUSTOMERS AGAINST THE FIRM AND THE BROKERS, INVOLVING ALL TYPES OF ALLEGATIONS AND ALL TYPES OF INVESTMENT VEHICLES, INCLUDING EQUITIES, OPTIONS, FUTURES, COMMODITIES, LIMITED PARTNERSHIPS, NEW ISSUES, ETC. I ALSO HANDLED CASES INVOLVING THE OPERATIONS, BACK OFFICE ASPECTS FOR THE FIRM AND MATTERS INVOLVING EMPLOYMENT DISCRIMINATION BROUGHT BY INDIVIDUALS OR THE EEOC. IN ADDITION, I WORKED ON INVESTIGATIONS CONDUCTED BY THE STATE AND FEDERAL GOVERNMENTAL AGENCIES AS WELL AS THE SELF-REGULATORY AGENCIES. WHEN TMSI WAS SOLD, I JOINED GRUNTAL & CO. AS ASSISTANT GENERAL COUNSEL PERFORMING THE SAME DUTIES AS LISTED FOR TMSI. IN OCTOBER, 1990, I BEGAN MY OWN LAW PRACTICE, CONCENTRATING ON SECURITIES INDUSTRY MATTERS. I REPRESENT SECURITIES HOUSES AND INDIVIDUAL BROKERS IN ARBITRATIONS BROUGHT BY CUSTOMERS AND IN INVESTIGATIONS COMMENCED BY STATE, FEDERAL AND SELF-REGULATORY BODIES. I HAVE ACTED AS CONSULTANT TO ATTORNEYS INVOLVING SECURITIES DISPUTES. I HAVE BECOME KNOWLEDGEABLE OF THE USE OF THE INTERNET WITHIN THE SECURITIES INDUSTRY.

I REPRESENT INDIVIDUAL BUSINESS OWNERS IN THEIR CORPORATE AND PERSONAL MATTERS UNRELATED TO THE SECURITIES INDUSTRY. I ADVISE BUSINESSES ON FINANCIAL STRUCTURING, DEBT STRUCTURING, ETC. AND IN THE BANKING ASPECTS. I AM INVOLVED IN THE INTERNATIONAL COMMUNITY IN REPRESENTING CLIENTS WHO HAVE TRADING COMPANIES THROUGHOUT THE WORLD.