

Arthur H. Sobel
47 East 87th Street
New York NY 10128
Tel: 212-369-1202
E-mail Address: sobeljd@gmail.com

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<u>I. Profession</u>	<u>Accrediting Agency or Jurisdiction</u>	<u>Date of Admission</u>
Attorney	New York State	1962

<u>II. Professional Organization</u>	<u>Date of Admission</u>	<u>Active/Inactive</u>
Association of the Bar of the City of New York	1963	Active

III. General professional experience:

From 1989 to 2001, I was employed by Merrill Lynch, Pierce, Fenner & Smith Inc. as First Vice President and Assistant General Counsel. In that capacity, I represented Merrill Lynch and/or its employees in over 250 arbitration and mediation proceedings, both in New York, around the country and internationally. I retired from my employment in December 2001 and from March 2002 until June 30, 2010, I served as a consultant to the Office of General Counsel.

Prior to my 18 year Merrill Lynch association, from 1969 to 1989, I was a partner in the law firm of Kimmelman, Sexter & Sobel, where I specialized in securities related litigation, representing both claimants and respondents. I served as a law clerk to Hon. Irving Ben Cooper of the United States District Court for the Southern District of New York in 1964 and 1965.

- ◆ Special Master U.S. District Court 1979, 1983
- ◆ Member N.Y. State Bar (1962); U.S. District Court, Southern District of New York (1964); U.S. Court of Appeals, Second Circuit (1966); U.S. Tax Court (1969); U.S. Supreme Court (1970); U.S. Claims Court (1982)
- ◆ Author: "Realize Mediation's Unique Potential." NYLJ February 14, 2000
- ◆ Faculty Member for PLI Securities Arbitration course (NYC August 16, 2006)
- ◆ US Navy Lieutenant (Law Specialist) Ret.
- ◆ Former member Federal Courts Committee, New York County Lawyers Association; Federal Legislation Committee, Association of the Bar of the City of New York
- ◆ FINRA Arbitrator
- ◆ NYC Small Claims Court Arbitrator
- ◆ N.Y. State Supreme Court Mediator
- ◆ Member Committee on Legal Services for People of Moderate Means, Association of the Bar of the City of New York
- ◆ University of North Carolina AB (1958)
- ◆ Columbia University JD (1961)

IV. General pertinent experience:

I completed 36 hours of mediation training under the Safe Horizon Mediation Program in September 2008. I mediated over 30 matters at their offices and in the New York Civil Court, both in Manhattan and Brooklyn. I was appointed to the FINRA mediation panel in July 2009 and to the Supreme Court New York County Mediation Panel in August 2009. I have mediated 2 cases in the Supreme Court. As noted in my response to III, I mediated many cases (as attorney for a party, of course) while employed at Merrill Lynch.

V. Mediation training:

Safe Horizon Mediation Program, Certification Program 36 hours.

VI. Pertinent bankruptcy training:

I have no significant bankruptcy experience.

VII. General pertinent business or legal experience:

Please see response to III.