Robert D. Lawson, AIF®, MRFC®, CFE®, LUTCF®

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President | Barrington Financial Consulting Group, Inc.

President | Barrington Capital Management, Inc.

Securities & Insurance Expert Witness & Litigation Support Consultant

Financial Industry Regulatory Authority (FINRA) Dispute Resolution Chairperson | FINRA Mediator

National Futures Association (NFA) Dispute Resolution Arbitrator

NOT YET RETAINED

Summary

Mr. Robert Lawson has over 35 years of financial experience with securities, investments, retirement plans, and insurance and in a professional capacity as a financial advisor, investment fiduciary, supervisor, securities and options principal, and Chief Compliance Officer of a Registered Investment Advisory (RIA) firm. He serves as the President of Barrington Financial Consulting Group, Inc., a litigation consulting firm and President and Chief Compliance Officer of Barrington Capital Management, Inc., a state Registered Investment Advisory firm that he established in 1988.

Mr. Lawson proudly serves as a FINRA and NFA Arbitrator (FINRA Chair-Qualified) and a FINRA Mediator where he presides over industry and public disputes pertaining to: breach of fiduciary duties, negligence, failure to supervise, misrepresentation, breach of contract, monetary damages, and employment issues. As an unbiased Arbitrator, he renders final and binding decisions after carefully weighing the facts of each case. As a skilled mediator, Mr. Lawson remains impartial and motivated to assist the parties in resolving their dispute from multiple perspectives. He promotes a productive and respectful environment to aid in the resolution of their dispute.

As a Securities & Insurance Expert Witness and Litigation Support Consultant, Mr. Lawson is retained by both claimants and respondents for FINRA arbitrations, mediations, and court settings. Retaining counsel is supported by extensive research, expert witness reports, persuasive testimony, and decades of industry, brokerage, supervisory and fiduciary experience.

Mr. Lawson is knowledgeable in the financial services industry with numerous nationally recognized certifications and has conducted over 500 presentations, CLE's, and workshops for attorneys, financial services professionals, and retail investors.

Professional Certifications

- Accredited Investment Fiduciary, AIF®
- Certified Fraud Examiner, CFE®
- Master Registered Financial Consultant, MRFC®
- Life Underwriter Training Council Fellow, LUTCF®
- Qualified Neutral Under MN Rule 114 – Civil Adjudicative/Evaluative (Arbitration) – ADR ID #6172
- Qualified Neutral Under MN Rule 114 – Civil Facilitative/Hybrid (Mediation) – ADR ID #6172
- Certified Mediator – Mediate.com

Professional Experience

- Barrington Capital Management, Inc. – (February 1995 - Present)
  - President, Chief Compliance Officer, & Founder - A Registered Investment Adviser | IARD # 115603
  - Insurance Agency Principal
- Barrington Financial Consulting Group, Inc. – (June 2017 - Present)
  - President & Founder
  - Mediation, Arbitration, & Litigation Support Consulting
- Minnesota State Bar Association (MSBA) ADR Section Council – (July 2017 - Present)
  - Membership Chair
- FINRA Dispute Resolution Arbitrator and Chairperson ID: A57294 – (August 2009 - Present)
  - Qualified Through the National Arbitration and Mediation Committee

- FINRA Mediator ID: A57294 – (November 2017 - Present)
    - Qualified Through the National Arbitration and Mediation Committee
- National Futures Association (NFA) Dispute Resolution Arbitrator Chair-Qualified – (February 2012 - Present)
    - Futures, Commodities, and Forex Disputes Involving Investors, Member Firms, and Employees
- Securities & Insurance Expert Witness & Litigation Support Consultant – (February 2010 - Present)
    - Litigation Support, Expert Witness Services, & Case Analysis
- Master Registered Financial Consultant (MRFC®); Division of International Association of Registered Financial Consultants (IARFC®)
    - Vice-Chairman and Board Member
    - MRFC® Certification Program
    - MRFC® Curriculum Task Force
- Broker-Dealer & Registered Investment Adviser Consultant – (June 2006 - Present)
    - Private Consultant for Compliance, Ethics, Business Development, and Operational Matters for Broker-Dealers and Registered Investment Advisers
- Your Financial Roadmap, Inc. – (December 2015 - Present)
    - President & Founder
- Gardner Financial Services, Inc.
    - Registered Securities & Options Principal – (April 2014 - September 2014)
    - Compliance Consultant – (September 2015 - November 2015)
- MB Trading – (February 2011 - April 2012)
    - Registered Securities & Options Principal | Branch Manager
- thinkorswim, Inc. by TD Ameritrade, Inc. – (June 2006 - August 2010)
    - Registered Securities Principal & Registered Options Principal | Branch Manager
- Raymond James Financial Services, Inc. / Robert Thomas Securities, Inc. – (January 1999 - June 2004)
    - Registered Securities Principal | Branch Manager
- Robert Thomas Securities, Inc. – (October 1998 - January 1999)
    - Registered Securities Principal | Branch Manager
- Midwest Discount Brokers, Inc. – (April 1996 - October 1998)
    - Registered Securities Principal & Registered Representative | Branch Manager
- Securities Service Network, Inc. – (August 1994 - February 1995)
    - Registered Securities Principal & Registered Representative | Branch Manager
- Securities America, Inc. – (November 1993 - March 1994)
    - Registered Securities Principal & Registered Representative | Branch Manager
- Walnut Street Securities, Inc. – (January 1990 - January 1993)
    - Registered Securities Principal & Registered Representative | Branch Manager
- Barrington Capital Management, DBA – (August 1988 - February 1995)
    - Owner & Chief Investment Officer - A Registered Investment Adviser | IARD # 115603
    - Licensed Insurance Agent
- Financial Network Investment Corporation – (November 1987 - January 1990)
    - Registered Securities Principal & Registered Representative | Branch Manager
- Shearson Lehman Brothers, Inc. / American Express – (August 1986 - December 1987)
    - Vice President / Fixed Income Specialist
    - Serviced Rural Banks and Insurance Companies with Investment Solutions
- American Capital Financial Services, Inc. – (September 1983 - August 1986)
    - Registered Representative | District Manager

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Industry Examinations & Licenses

- Series 24 – General Securities Principal Examination*
- Series 4 – Registered Options Principal Examination*
- Series 7 – General Securities Representative Examination*
- Series 51 – Municipal Fund Securities Limited Principal Examination*
- Series 66 – Uniform Combined State Law Examination
- Series 63 – Uniform Securities State Law Examination*
- Series 3 – National Commodities Futures Examination*
- Minnesota Department of Commerce – Insurance Agency License (Barrington Capital Management, Inc.): License # 20093989 - Issued: 03/20/2001
- Minnesota Department of Commerce – Resident Insurance Producer: Life & Health – License # 1008439 Issued 10/27/1982

** No longer registered or affiliated with FINRA or the National Futures Association (NFA) as a Principal, Registered Representative, or Commodities Representative*

Areas of Expertise

- Alternative Investments
- Anti-Money Laundering (AML)
- Annuities – Fixed & Variable
- Breach of Fiduciary Duty
- Broker-Dealer & Registered Representative Sanctions
- Broker & Investment Adviser Fraud
- Churning / Excessive Transactions
- Code of FINRA Arbitration Procedure – Section 10000
- Compensation Disputes
- Compliance Obligations for RIAs & Broker-Dealers
- Due Diligence
- Employment Termination
- Ethical Considerations
- Exchange Traded Funds (ETFs) & Mutual Funds
- Failure to Supervise
- Fiduciary Standard of Care & Responsibility
- Financial Exploitation of Seniors and Vulnerable Adults
- Fixed Income – Corporate Debt & U.S. Gov't Treasuries
- Insurance – Indexed & Variable Universal Life
- Insurance – Long Term Care
- Investigations and Sanctions – FINRA Section 8000
- Leveraged & Inverse ETFs
- Limited Partnerships & Direct Participation Programs
- Margin Investing
- Manipulative, Deceptive & Fraudulent Devices
- Negligence
- Non-Traded REITs
- Omission of Facts
- Options – Equity & Index
- OTC Bulletin Board / Penny Stocks / Low-Priced Securities
- Outside Business Activities
- Private Placements
- Promissory Notes
- Securities Fraud
- Selling Away
- Structured Investments
- Suitability – FINRA Rules 2090 & 2111
- Supervision – FINRA Rules 3110 & 3120
- Target-Date Funds

Board Memberships

- Vice-Chairman and Board Member for the Master Registered Financial Consultants (MRFC®)
- Twin Cities Chapter of the Association of Certified Fraud Examiners (TCCFE)
  - Marketing and Communications Committee
- Securities Experts Roundtable (SER)
  - Practice Management & Mentorship Chair
- Master Registered Financial Consultants (MRFC®)
  - Secretary & Education Curriculum Member
- Minnesota State Bar Association (MSBA) ADR Section
  - Membership Chair

Education

- Mitchell Hamline School of Law; St. Paul, MN
  - Arbitration Certificate - 2011

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        - U.S. Arbitration Law and Practice; Course covered the following topics: U.S. Arbitration Law, Arbitration Agreements, Enforcement of Awards, U.S. Statutes on Arbitration, Arbitration and Federalism, Freedom of Contract, Arbitrator Sovereignty, and Statutory Arbitrability, Enforcement of Arbitration Awards
        - Minnesota ADR Rule 114 and applicable MN Statutes | Arbitration
        - Civil Adjudicative
        - Evaluative Arbitration
    - Mediation Certificate - 2014
        - Practice, Policy, and Ethics
        - Minnesota ADR Rule 114 and applicable MN Statues | Mediation
        - Civil Facilitative & Hybrid Mediation

- The American College of Financial Services
    - Life Underwriter Training Council Fellow (LUTCF®) – 1983-1991
        - Financial Planning & Risk Management
        - Life Insurance & Annuities
        - Retirement & Estate Planning
        - Employer-Based Insurance Products

Lectures & White Papers

- Securities Experts Roundtable (SER) Moderator: "Best Practice Tips to Manage Your Expert Witness Business"
- New York State Bar Association (NYSBA) Presenter: "How to Survive and Potentially Thrive as a Neutral in these Volatile Times" – May 2020
- Minnesota State Bar Association (MSBA) Presenter: "How to Survive and Potentially Thrive as a Neutral in these Volatile Times" – April 2020
- Securities Experts Roundtable (SER) – Presenter: "Best Practices for Expert Witnesses – Practice Management Techniques" – Washington, DC – July 2018
- Steel County Bar Association – Speaker: "Solving for 'X' – Financial Planning Tips for Attorneys" – 2018
- Selling Away: Broker-Dealer Liability for Selling Away Transactions & Responsibility of Supervisory Personnel - 2017
- FINRA Dispute Resolution Essentials - 2017
- Minnesota State Bar Association (MSBA) – Presenter: "Is Arbitration Getting a Bad Name?" – 2017
- Fi360 AIF® Qualified Instructor – Fiduciary Essentials for Defined Contribution Plans (FEDC) – 2017
    - Understanding the Important Role and Responsibilities as Plan Fiduciaries
    - Reducing Compliance and Litigation Risks Associated with the Management of Retirement Plans
    - Implementing an Effective and Prudent Fiduciary Decision-Making Process
    - Creating Training Documentation for the Fiduciary File and Potential DOL Audits
- Presented the following presentations to Attorneys, Financial Professionals, Investors, and Plan Stewards:
    - Prudent Practices for Investment Fiduciaries – 2017
    - How to Avoid Arbitration: *"A Look into the Future of Financial Services Industry"* – 2016
    - Transitioning Your Practice from a Commission to a Fee-Based Model – 2015
    - Retirement Planning Course: *"The Rules Have Changed"*: Normandale Community College – 2013
    - Social Security Planning: Normandale Community College – 2013
    - Retirement Planning for Baby Boomers: Normandale Community College – 2013
    - Advanced Investing Techniques Course: Wayzata School District – 2013
    - Are You a Daredevil with Your Investments?: Bloomington School District – 2013
    - A Disciplined Approach to Selecting & Monitoring Stocks, ETF's, Mutual Funds, and Managing Risk – 2008
    - Sector Rotation – 2007
    - Point & Figure Technical Analysis – 2007
    - A Disciplined Approach to Selecting Stocks and Managing Risk – 2006
    - Risk Management & Portfolio Hedging – 2006
    - Your Financial Roadmap – 2002
    - The ABCs of Long-Term Care Insurance – 1998
- Presented the following Options Industry Council (OIC) Courses:
    - Covered Calls – 2007
    - Options Basics – 2007
    - Options Intermediate – 2008
    - Advanced Options – 2008
    - Credit & Debit Option Spreads – 2008
    - Option Volatility – 2008

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Affiliations

- CFA Institute - Member
- CFA Society of Minnesota - Member
- American Bar Association (ABA) – Securities in ADR Committee; Mediation Committee; ADR Practice Management, Business and Skills Development Committee
- Master Registered Financial Consultant (MRFC®); Division of International Association of Registered Financial Consultants (IARFC) – Board Member and Oversees the MRFC® Certification Program
- Securities Experts Roundtable (SER) – Board Member
- Association of Certified Fraud Examiners (ACFE)
- Twin Cities Chapter of the Association of Certified Fraud Examiners (TCCFE) – Board Member
- Securities Industry and Financial Markets Association (SIFMA) – Compliance & Legal Society
- Iowa Association of Mediators – iamediators.org
- Thomson Reuters Expert Witness
- Bates Group Expert Witness
- Rubin Anders Expert Witness
- Financial Planning Association of Minnesota and National Chapters (FPA of MN)

Awards & Honors

- American Bar Association (ABA) Alternative Dispute Resolution – Welcome Committee Ambassador
- Mitchell Hamline School of Law – Mediation Judge for Law Students in National Competition
- Minnesota State Bar Association (MSBA) – ADR Ambassador for Mitchell-Hamline School of Law students
- Minnesota Lawyer: - Voted Among the "Top Three Best Litigation Consulting Firms" 2017 & 2019
- A.M. Best Company: Client Recommended Expert Service Provider - 2013-2017
- Better Business Bureau of Minnesota and North Dakota: Judge - Students of Integrity Scholarship - 2016
- Better Business Bureau of Minnesota and North Dakota: Judge - Torch Awards for Ethics - 2015
- Better Business Bureau of Minnesota and North Dakota: Business Ethics Award Nomination - 2010, 2011 & 2012

Seminars & Training

- Twin Cities Chapter of Certified Fraud Examiners (TCCFE) – 2019
  - Financial Fraud – 2019
- Securities Experts Roundtable (SER)
  - Death of the DOL / Birth of the SEC Best Interest – 2019
  - Due Diligence Standards on Alternative Investments – 2019
  - FINRA Updates and Securities ADR Developments - 2019
- Association of Certified Fraud Examiners (ACFE) – 2019
  - Elder Financial Exploitation – 2019
  - The CFE® as an Expert Witness – 2019
- AHIP Medicare Training - 2018
  - Overview of Medicare Program Basics: Choices, Eligibility, and Benefits
  - Medicare and Health Plans
  - Medicare Part D: Prescription Drug Coverage
  - Marketing Medicare Advantage and Part D Plans
  - Enrollment Guidance Medicare Advantages and Part D
  - Nondiscrimination Training
  - Medicare Fraud, Waste, & Abuse
- Minnesota State Bar Association: ADR Section – Mediation and Arbitration Training
  - Online Dispute Resolution (ODR): Welcome to My Virtual World - September 2020
  - Arbitration Options: The Right Fit for the Fight -2019
  - ADR Career Paths in Law – October 2018
  - All Conflict is Relational – September 2018
  - Impartiality in Dispute Resolution: What Does it Really Mean? – May 2018

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- Comparative Mediation Processes: Civil, Community, and Family – April 2018
- How You Can Use ADR to Help with Your CBAs – March 2018
- ADR and the IRS – February 2018
- Cultural Considerations, Norms, & Expectations in Mediation – January 2018
- Managing Values-Based Disputes – 2017
- Tips for Interacting with Diverse Humans – 2017
- How to Avoid Ethical Complaints as an ADR Neutral – 2017
- Keeping Your Cool When Clients Get Heated – 2017
- Practice Tips for Mediation & Arbitration – 2017
- Preparing for a Productive Mediation – 2017
- Best Practices in Conducting Arbitrations – 2017
- Handling Difficult Questions – 2017
- Ethics in Arbitration & Mediation – 2017
- ADR Neutrals and Ethics Complaints: A View from the Office of Lawyers Professional Responsibility – 2017
- Cultural Consideration, Norms, and Expectations in Mediation – January 2017

- American Arbitration Association
  - It's Time for Heavy Metal Mediation – 2017
  - Mediation & the Challenges in Today's World – 2017
  - Seeing & Hearing New Things in the Same Old Rooms – 2017
  - Rethinking the Mediator's Opening – 2017
  - Making the Most of Med-Arb – 2017
  - People Skills & Mediation: Improving Communications & Avoiding Chaos – 2017
  - The Preliminary Hearing – 2017
  - Recommendations from a Lifetime in Arbitration – 2017
- FINRA Dispute Resolution
  - Discovery, Abuses, & Sanctions – 2017
  - Request to Amend a Brokers CRD – 2017
  - Chairperson Training – 2009
  - Direct Communication Rule – 2009
  - Discovery: Abuses & Sanctions – 2009
  - FINRA Dispute Resolution: Expungement – 2009
  - Arbitration Basic Training – 2009
  - Pre-hearing Stage – 2009
- Fi360, Inc. - Center for Fiduciary Studies TM
  - Accredited Investment Fiduciary Training
    - How to Bullet Proof a 401k Plan from Fiduciary Breach Risk – PROCEDURALLY!
    - Request for Proposals (RFP) Best Practice
    - An Introduction to the Fiduciary Standard and Fiduciary Principles
    - How Much is Your Reputation Worth?
    - Assessing Client Risk Tolerance in a Fiduciary Future
    - Designee FEDC Qualification
    - Fiduciary Best Practices for Non-ERISA Defined Contribution Plans
    - Trending in Regulatory Compliance and Risk Mitigation
    - The Retirement Income Debate: In Plan vs. Out of Plan
    - Using Asset Allocation Vehicles as Custom Target Date Funds
    - Breaking Down the Many Fiduciary Duties
    - Fiduciary Standards of Care
    - Global Fiduciary Precepts
    - Defined Investment Process Substantiated by Law, Regulations and Industry Best Practices
    - ERISA Named Beneficiaries
    - Fiduciary Responsibilities – Investment Advisers | Investment Stewards | Investment Managers

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- SEAK, Inc.
  - Expert Witness & Litigation Support Training & Seminars
    - How to Excel at Your Expert Witness Deposition - 2017
    - Effective and Persuasive Presentation of Expert Testimony - 2017
    - Arbitrations, Mediations, and Bench Trials: Delivering Effective Testimony -2017
    - Teaching and Persuading in Court: A Judge's View on Practical Communication - 2017
    - Writing and Defending Your Expert Report at Deposition and Trial - 2017
    - How to Deal with an Aggressive Attorney at Deposition and Trial - 2017
    - Experts Going on the Offensive During Cross-Examination - 2016
    - How to Survive and Thrive in Large & Complex Cases: Trials and Tribulations - 2016
    - Credibility: Creating It; Keeping It Under Cross-Examination - 2016
    - How and Why Expert Witnesses Get Disqualified - 2014
    - How to Write an Exceptional Expert Witness Report – 2014
    - Direct Examination: What Lawyers Want from their Expert - 2012
    - Effective Use of Demonstrative Evidence - 2012
    - Expert Witness Preparation for Trial: Direct and Cross-Examination - 2012
- National Futures Association (NFA®)
  - Arbitration Chair Examination – 2017
  - Pre-Hearing Conference Call Examination – 2017
- The Briggs Forum on Financial Markets: Securities, Insurance, Litigation and Regulation – 2017
  - Fiduciary Duty Rule: What Now?
  - Focus on the Regulators: What Can We Expect in Financial Regulation?
  - An Aging Population: Elderly Clients & Clients with Diminished Capacity
- Securities Litigation and Enforcement Forum - Briggs & Morgan, PA
- Restorative Justice Training – CMRS, Inc. – 2015
- Upper Midwest Securities and Enforcement Forum – 2011 & 2012
- FINRA District 4 Office Conference – 2011
- Business Ethics Summit – College of St. Thomas, St. Paul, MN

Volunteer Experience

- Member: Investment Sub-Committee: Little Brothers - Friends of the Elderly
  - Little Brothers - Friends of the Elderly is a non-profit volunteer-based organization committed to relieving isolation and loneliness among the elderly.
- Volunteer Mediator: Better Business Bureau (BBB) of Minnesota & North Dakota
  - Resolve disputes through the mediation process
- Judge: BBB of Minnesota & North Dakota Students of Integrity Scholarship – October 2016
  - The Student of Integrity Scholarship is an annual program offered by the BBB of MN to recognize and award scholarships to students who personify the best aspects of high character in their personal choices and actions.
- Judge: BBB of Minnesota & North Dakota Torch Awards for Ethics – October 2015
  - The Torch Awards recognize and publicly acknowledge companies who display an outstanding level of ethics, customer service and integrity in all aspects of their operations.
- Volunteer Mediator: Community Mediation & Restorative Services, Inc.
  - Assist Community Mediation and Restorative Services, Inc. (CMRS) in providing the community with a structured confidential process for resolving disputes in a mutually satisfactory manner.

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