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EDUCATION

Juris Doctor

University of Denver, Denver, Colorado, 1984

Bachelor of Science in Business Administration - Cum Laude

University of Colorado, Boulder, Colorado, 1979

LICENSES

Licensed to practice law in Colorado and Arizona

PROFESSIONAL EXPERIENCE

General Counsel

United Planners Financial Services, Scottsdale, AZ

May 2019 to present

General Counsel of a full-service independent broker-dealer and investment advisor.

Principal

July 2004 to present

C L King & Associates, Boulder, Colorado

C L King Law, Phoenix, Arizona (since March, 2011)

Attorney specializing in securities, broker-dealer and investment advisor regulation, public and private securities offerings, corporate governance and compliance, private equity funds, venture capital financing and mergers and acquisitions. Frequently provide consulting services as an expert witness in securities litigation.

Of Counsel

January 2013 to November 2015

Berenbaum, Weinshienk, PC, Denver, Colorado

Of Counsel member of the Business Transactions, Corporate Securities, and Venture Capital Practice Groups.

Counsel

November 2003 to July 2004

ING U.S. Financial Services, Denver, Colorado

Provided legal advice and assistance to six broker-dealers, both wholesale and retail, and the retail investment advisory division, including issues related to mutual fund distribution, annuities, defined contribution activities and investment advisory compliance.

Partner September 2000 to November 2003
Faegre & Benson LLP, Boulder, Colorado
Partner in the corporate finance group specializing in investment advisor and broker/dealer regulation, public and private securities offerings, securities law, private equity funds (including hedge funds), venture capital and angel financing, and mergers and acquisitions. Also provide consulting services as an expert witness in securities litigation. This office was formerly Chrisman, Bynum & Johnson, P.C.

Partner April 1999 to September 2000
Sadick & O'Brien, LLP, Boulder, Colorado
Founding partner specializing in estate planning, investment advisor and broker/dealer regulation, public and private securities offerings, securities law, private equity funds (including hedge funds), venture capital and angel financing, and mergers and acquisitions. Also provided consulting services as an expert witness in securities litigation. Firm combined practice with Chrisman, Bynum & Johnson, P.C.

Attorney February 1997 to March 1999
Boulder, Colorado
Sole practitioner focusing on the representation of brokerage firms and persons associated with brokerage firms, consultation with other attorneys regarding securities litigation, and estate planning. Merged practice with Sadick & O'Brien, LLP.

Regional Counsel August 1987 to June 1996
National Association of Securities Dealers, Inc., Denver, Colorado
Legal counsel for District No. 3 of the National Association of Securities Dealers, Inc. responsible for overseeing investigations regarding compliance with securities rules and regulations, including underwriting, sales practice, disclosure, financial and operational, and pricing issues, conducting disciplinary actions involving brokerage firms and persons associated with brokerage firms, and providing education and training to NASD staff and state securities regulators.

Supervisor, Special Investigations August 1986 to August 1987
National Association of Securities Dealers, Inc., Denver, Colorado
Responsible for supervising the ten-member staff of the Special Investigations Section of the District No. 3 office of the National Association of Securities Dealers, Inc. This section was responsible for investigations of all customer complaints, terminations for cause and special sales practice investigations involving brokerage firms and persons associated with brokerage firms and the review of all Regulation T extension requests.

Examiner, Special Investigations October 1985 to August 1986
National Association of Securities Dealers, Inc., Denver, Colorado
Responsible for conducting investigations of potentially serious violations of securities rules and regulations involving sales practice issues.

Associate July 1985 to October 1985
Accetta and Associates, Denver, Colorado
Associate attorney providing legal counsel in the areas of corporate and general business matters.

Associate November 1984 to July 1985
Rider & Woulf, P.C., Aurora, Colorado
Associate attorney providing legal counsel in the areas of corporate and general business matters, securities law, real estate and bankruptcy matters.

Financial and Operations Principal and Compliance Officer
Hackert/Modesitt Investments, Ltd. , Englewood, Colorado October 1980 to August 1981
Registered Financial and Operations Principal and Compliance Officer for a self-clearing brokerage firm. Responsibilities included preparation of net capital and customer protection calculations, financial reporting, monitoring receipt and delivery of securities and general back office oversight.

Examiner October 1979 to September 1980
National Association of Securities Dealers, Inc., Denver, Colorado
Responsible for conducting routine examinations of brokerage firms to review for compliance with all aspects of securities rules and regulations, including sales practice and financial responsibility issues.

PRESENTATIONS AND SEMINARS

Sarbanes – Oxley Issues, Denver, Colorado 2002

Overview of Securities Regulation, Metropolitan State College, Denver, CO 1995

Elements of a Churning Case,
NASD District No. 3 Staff Training 1993
State of Arizona Division of Securities 1993

Elements of a Suitability Case
NASD District No. 3 Staff Training 1993
State of Arizona Division of Securities 1993

Elements of A Broker-Dealer Supervision Case
NASD District No. 3 Staff Training 1993
State of Arizona Division of Securities 1993