

Education

Dartmouth College
B.A., Magna Cum Laude

Professional Experience

Smith Barney (now Morgan Stanley Wealth Management)

Progressive leadership roles spanning 26 years:

- **Member, Board of Directors:** Corporate governance and strategic oversight
- **Executive Vice-President:** Senior executive leadership
- **Regional Director:** Managed 1,000-person region with \$250M+ annual revenue
- **Resident Branch Manager:** Led 100-person branch office
- **National Institutional Sales Manager:** Recruited and supervised nationwide sales teams
- **Institutional Salesperson:** Served institutional clients
- **Retail Stockbroker:** Started career in direct client service

Expert Witness Practice

Total Retentions	1,700+
Testimonies Given	750+
States Where Testified	42+

Testimony Forums: State and Federal Courts, FINRA Arbitration Proceedings, The American Arbitration Association, JAMS, SEC Disciplinary Proceedings, SRO Disciplinary Hearings, Mediations

Areas of Expertise (Partial List)

- Alternative Investments
 - Auction Rate Securities
- Breach of Fiduciary Duty
 - Churning & Excessive Trading

- Damages Calculations
- Employee Disputes
- ETFs, MLPs & Complex Products
- Hedge Funds
- High-Yield Bonds
- Inter-Firm Disputes & Raiding
- Margin Accounts
- Misrepresentation & Omissions
- Municipal Bonds
- Mutual Funds
- Options Trading
- Private Equity
- The Protocol for Broker Recruiting
- Registered Investment Advisor Issues
- Regulation Best Interest (Reg BI)
- REITs
- Retirement Strategies
- Suitability Analysis
- Supervision & Compliance Failures
- Unauthorized Trading
- Variable Annuities

Licenses Held

- ASE, CBT, NASD, NYSE Registered Options Principal
- NASD General Securities Principal
- National Futures Association Associated Person
- NYSE Branch Office Manager
- NYSE Registered Representative

Contact Information

john@johndmaine.com | (415) 847-6556