

SECURITIES MEDIATOR

BRIAN G. MOONEY, ESQ.



Former Member of PIABA

Principal, The Mooney Firm, PLLC

Florida Supreme Court Certified Mediator

More Than 28 Years of Securities Litigation Experience

FINRA, NFA and AAA Arbitrator

Evaluative Mediator

Mediation Facility in Tampa, FL

Mediated Over 600 Cases

Chaired Dozens of Securities Arbitrations

Super Lawyers 2016-2018

AV-Rated – Martindale Hubbell

LAW FIRMS THAT HAVE RETAINED ME FOR MEDIATION SERVICES:

Goodman & Nekvasil– Clearwater, FL

Maddox, Hargett, and Caruso, P.C.– Fishers, IN

Lewins Law– Dallas, TX

Akerman, Link & Sartory–West Palm Beach, FL

Dickenson Murphy Rex and Sloan– Boca Raton, FL

Persante Law Group– Clearwater, FL

Vernon Litigation Group– Naples, FL

Piper Ludin– St. Petersburg, FL

Morris, Laing, Evans, Brock & Kennedy– Topeka, KS

Sallah Astarita & Cox– Boca Raton, FL

Icard Merrill– Sarasota, FL

David Liebrader, Inc.– Las Vegas, NV

Oakes & Fosher, LLC– St. Louis, MO

Levin Papantonio– Pensacola, FL

Scarlett & Hirsch– Delray Beach, FL

Colling, Gilbert, Wright & Carter– Orlando, FL

Page Perry, LLC– Atlanta, GA

Amato Law Firm LLC– Chicago, IL

Hunsucker Goodstein P.C.– Lafayette, CA

Silver Law Group– Coral Springs, FL

Johnson, Pope, Bokor– Tampa, FL

Coleman Law Firm– Clearwater, FL

Morgan & Morgan– Various Locations

Erez Law– Miami, FL

Sonn Law Group– Aventura, FL

Place and Hanley– Asheville, NC

David R. Chase PA– Ft. Lauderdale, FL

Gucciardo Law Group– LakewoodRanch, FL

Kyros Law Offices–Hingham, MA

Soreide Law Group– Ft. Lauderdale, FL

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FINRA MEDIATOR PROFILE

I obtained my bachelor's degree from the University of Notre Dame in 1985 where I majored in both accounting and philosophy. In 1988, I received my J.D. from the University of Florida College of Law. That same year I was admitted to the Florida Bar and the Federal Bar for the Middle District of Florida.

My first employment as an attorney was as an associate at Butler, Burnette and Pappas in Tampa, Florida. My responsibilities included all aspects of litigation, from trial work through appellate practice. In 1989, Butler, Burnette and Pappas became involved in the securities litigation practice and that is where I first developed an interest in such practice.

Upon leaving Butler, Burnette and Pappas in 1990, I co-founded the firm of Mooney and Riley, P.A. in Tampa, Florida. Our practice included Securities Litigation, Estate Planning, and Personal Injury Litigation. Mooney and Riley dissolved in 1992 and I continued to practice as Brian G. Mooney, P.A. until 1995. In June of 1995, I cofounded the Tampa, Florida law firm of Almerico & Mooney. Almerico & Mooney's practice includes Estate Planning, Personal Injury Litigation and Securities Litigation.

Outside the practice of law, I sit on the Board of Directors of Sachem, Inc., a mid-sized chemical company, where I serve on the Audit Committee and Chair the Strategic Planning Committee. I also serve on the boards of various local charities, including Tampa Jesuit High School.

My experience in Securities Litigation is extensive. I have mediated hundreds of securities arbitration cases with a settlement rate that hovers around ninety percent. I have been an arbitrator for the NASD/FINRA since 1991. I have chaired over twenty-five arbitrations to award and been involved with numerous other cases that have settled prior to the rendering of a final award. I have arbitrated cases involving fraud on the market, suitability, churning, fraud, unauthorized discretion, misrepresentations and/or omissions, civil RICO, civil theft, specific causes of action under Florida Statutes Section 517, and many other causes of action. I have seen Claimants that are individuals, couples, unrelated parties, trusts retirement plan trustees, estates, investment groups, corporations, etc. I have seen Respondents that are brokerage houses, brokers, managers, clearing houses, unlicensed individuals, corporation, etc. I have also been on numerous panels for the NFA, chairing most of those as well. My extensive experience in arbitration has given me keen insight into how a panel considers the various theories and arguments of both the Claimant and Respondent. It also lends insight into probable final awards.

I have represented numerous customers against brokerage houses, with causes of action involving all of those mentioned above. The vast majority of those cases have been in the NASD/FINRA forum of arbitration. Thus, I have specific knowledge concerning both Claimant and Respondent strategies in securities arbitrations. I am a former member of PIABA, resigning to concentrate more on securities litigation mediation.

I have also represented brokers with regard to their license with the NASD, The Florida Comptroller's office and the SEC. The NASD, through their seminar set up specifically for securities litigation mediation, provided my mediation training.

I am a member of the Florida Bar Association Alternative Dispute Resolution, Trial Lawyers, Real Property, and Trust Law sections. I am a member of the American Bar Association Dispute Resolution, Litigation and Real Property, and Trust Estate Law sections.