

GENERAL RESUME FOR FRANK A. LIGHTMAS, JR.

Education 1973, A.B., *Cum Laude*, in Government from Harvard University
1976, J.D., Vanderbilt University School of Law
Articles Editor, *Vanderbilt Law Review*
Member, Moot Court Board

Employment 1989-present: Partner, Lightmas & Delk
1988-1989: Sole practitioner
1980-1988: Partner, Litigation Department, Kutak Rock & Campbell (multi-city national law firm with over 200 attorneys)
1976-1980: Associate, Kutak Rock & Campbell (and predecessor firms)

Personal Born March 15, 1951
Married to Teresa Wright Lightmas
Two children: Lauran Elizabeth Lightmas Nichols (27), Lindsay Ann Lightmas (19)

Professional Memberships State Bar of Georgia (Sections on General Practice and Trial, Insurance Law and Legal Economics of Law)
American Bar Association (Sections on Dispute Resolution, Litigation, Tort and Insurance Practice, Law Practice Management)
Atlanta Bar Association (Sections on Dispute Resolution [Board of Directors, 1999-2001], Litigation, Sole Practitioner /Small Firm)
Lawyers Club of Atlanta

Court Admissions State of Georgia, 1976
U.S. Supreme Court
U.S. Courts of Appeals for the Fifth Circuit, 1979 and 1981, the Eleventh Circuit, 1981, and the Sixth Circuit
U.S. District Courts for the Northern District of Georgia, 1976, Middle District of Georgia, 1983

Civic Memberships Harvard Club of Georgia (Vice-President 1995-1999, 2001-2007, 2008-present, President 1999-2001, 2007-2008, Board of Directors, 1995-present);
Harvard Alumni Association, Southeastern Regional Director, 2001-2004

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Personal Residence

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FRANK A. LIGHTMAS, JR.
BACKGROUND INFORMATION STATEMENT

I attended Harvard University and graduated with an A.B., *cum laude*, in Government in 1973. I then attended Vanderbilt University School of Law and graduated with a J.D. in 1976. While at Vanderbilt, I was Articles Editor of the *Vanderbilt Law Review*, a member of the Moot Court Board, a course assistant in the Legal Methods course, and participated in the Public Defender Program representing juveniles in the justice system. I was also the research assistant on the *Restatement (2d) of Torts* to the reporter who was Dean John W. Wade. I was admitted to the Georgia bar in July, 1976.

After graduating from Vanderbilt, I joined the Atlanta law firm then known as Huie, Ware, Sterne, Brown & Ide. In 1978, my firm merged with Kutak Rock & Campbell, and the resulting firm was known as Kutak Rock & Huie (now Kutak Rock). In 1980, I became a partner in the firm and continued there until 1988. From August, 1988, through July, 1990, I practiced as a sole practitioner. Beginning in August, 1990, and continuing through the present, I have been a partner in the 2 person firm of Lightmas & Delk.

Throughout the time that I have been practicing law, I have done commercial and business litigation and arbitration, with an emphasis on securities fraud, partnership disputes, officers and directors liability, professional liability (accountants and attorneys) and insurance coverage.

LIGHTMAS & DELK
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MEDIATION SUMMARY

Mediation Training

- 1995: Completed comprehensive training course given to individuals who seek to be mediators by Resolution Resources Corporation
- 1995: Completed mediator observation seminar also put on by Resolution Resources Corporation to meet observation requirement set forth by Georgia Supreme Court

Participation as Mediator

- 1995-present: Mediated several hundred cases as certified mediator for the Financial Industry Regulatory Authority (FINRA), the name of the entity that resulted from the July, 2007, merger of the National Association of Securities Dealers and the New York Stock Exchange
- 1995-present: Retained independently by counsel for parties to act as a mediator in commercial and business cases
- Successful conclusion rate in excess of 85%

Mediator Registrations

- Registered mediator with the Georgia Office of Dispute Resolution
- Certified mediator for FINRA

Participation as Counsel in Mediation Proceedings

- Represented clients in mediation proceedings that have resulted in settlements being reached

ARBITRATION SUMMARY

Arbitrator

- Arbitrator for FINRA for over twenty (25) years and continue to serve at the present time
- Retained independently by counsel for parties to serve as an arbitrator in commercial and business cases
- Arbitrations have included 1-person arbitrations, 1-person arbitrations decided on the basis of the written submissions only, 3-person panels and 5-person panels, all of which I served as chairperson
- As chairperson, have conducted and participated in various types of pre-hearing conferences, issued discovery, non-dispositive and dispositive rulings, and held arbitration hearings that have resulted in final awards being issued
- Longest of these arbitration hearings lasted over twenty (20) sessions spread over several weeks

Arbitrator Registrations

- Registered as neutral in the category of arbitration with the Georgia Office of Dispute Resolution
- Registered arbitrator with FINRA
- Registered arbitrator with the United States District Court for the Middle District of Georgia

Participation as Counsel in Arbitration Proceedings

- For over twenty-five (25) years, represented parties in arbitration proceedings before the American Arbitration Association, FINRA, the Municipal Securities Rulemaking Board and the Chicago Board Options Exchange
- Acted as both plaintiff's/claimant's counsel and defendant's/respondent's counsel

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- As claimant's counsel, represented customers in claims against brokers, supervisory personnel and broker/dealers alleging securities fraud, other types of fraud, churning, unsuitability, unauthorized trading, breach of fiduciary duty, negligence and other causes of action
- As respondent's counsel, defended individual brokers, supervisory personnel and broker/dealers against such claims
- Represented both individual brokers against broker/dealers and broker/dealers against individual brokers in cases involving employment and industry issues

Teaching at Arbitration Education Programs

- Co-chair of FINRA's Employment Law Seminar in Atlanta on August 15, 1997
- Instructor, "Approaches to Managing the Arbitration Proceeding" at FINRA's Arbitration Education Program/Arbitrator Skills Program in Atlanta on June 3, 1994 and October 7, 1994
- Instructor, "Securities Arbitration - Hearing Procedure" which focused on the arbitration process and how hearings are conducted at securities arbitration seminar sponsored by the American Arbitration Association in Atlanta in 1990
- Instructor, Joint Mediator Training Program, Consortium on Negotiation and Conflict Resolution, Georgia State University College of Law, February, 2000

Additional Arbitration Continuing Education

- Attended additional seminars relating to arbitration sponsored by the Georgia Institute of Continuing Legal Education and FINRA on various topics, including discovery in arbitration, vacating arbitration awards, following the law in arbitration proceedings, best practices and recent developments in arbitration, negotiation and conflict resolution for lawyers and the annual ADR Institute and Neutrals' Conference

- Attended the Arbitration Education Program/Arbitrator Skills Program sponsored by FINRA
- Attended seminar on alternative dispute resolution sponsored by the Atlanta Bar Association to meet its ADR requirement

**ARBITRATOR AND MEDIATOR
REGISTRATIONS/MEMBERSHIPS**

- Registered Arbitrator, Georgia Office of Dispute Resolution (#944)
- Certified Arbitrator, FINRA, 1980, officially approved 12/1/88
- Registered Mediator, Georgia Office of Dispute Resolution (#944)
- Certified Mediator, FINRA, 3/98
- Certified Arbitrator, United States District Court for the Middle District of Georgia