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WEBINAR EVENT - JULY 2007

The Court's Rejection of the Broker-Dealer Exemption Rule (The So-Called "Merrill Lynch" Rule):

What Does This Mean for Investors and Financial Advisors?

Presented by: Ronald M. Amato, J.D.

Wednesday, July 11, 2007

11:30 A.M. CENTRAL

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Ronald M. Amato is an associate attorney in the securities practice at Shaheen, Novoselsky, Staat, Filipowski & Eccleston, P.C.

Ron has extensive experience representing investors, registered representatives, investment advisers, and securities broker-dealers, in securities arbitration and litigation matters involving investment-related and securities industry disputes. He frequently represents investors in matters involving unsuitable investments, violations of state and federal securities laws, breach of fiduciary duty, and negligence. Additionally, Ron has counseled financial services professionals, as well as securities broker-dealers, in employment matters such as litigation of post-employment, non-solicitation and confidentiality agreements, as well as promissory note claims.

Ron assisted in obtaining a groundbreaking arbitration award against a national broker-dealer for its failure to properly advise a client regarding hedging a concentrated stock position obtained through the exercise of employee stock options. He also assisted with obtaining one of the first arbitration awards against a major online brokerage firm for its mishandling of a customer order and other sales practice violations.

Prior to attending Chicago Kent College of Law, Ron was employed as a registered representative and assistant branch office manager at a national broker-dealer. He gained valuable "hands-on" experience working with a variety of investment products, including equities and options. He has held a license for securities representative (Series 7, Series 63) with the NASD.

Ron is admitted to practice law in the State of Illinois and before the United States District Court for the Northern District of Illinois.

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20 North Wacker Drive, Suite 2900, Chicago, IL 60606

Tel 312.621.4400 Fax 312.621.0268

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