

Robert S. Banks, Jr.
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Law Practice

Securities litigation and arbitration attorney, concentrating in representing investors in disputes with the financial services industry. Additional concentrations in representing financial advisors in claims by and against broker-dealers, and liability of attorneys and accountants in securities-related claims. Practicing law since 1982, representing clients throughout the United States. Frequently representing clients in cases that present challenging and novel issues in the field of investment litigation.

Honors and Recognition:

Selected for Inclusion in Oregon Super Lawyers Every Year It Has Been Awarded (5% of practicing lawyers chosen)

Chambers Best Lawyers In America (Securities Arbitration)

Distinguished Service Award, Federal Bar Association, Oregon Chapter

President's Award, Public Investors Arbitration Bar Association

Martindale Hubbell AV Rated (Highest Rating)

Selected Professional and Bar Positions

President, Public Investors Arbitration Bar Association ("PIABA"), 2005-2006

PIABA is a group of 600-700 lawyers nationwide who represent claimants in securities arbitration cases before the NASD and NYSE

Member, Board of Directors and/or Executive Committee, PIABA, 2001-2009

Elected by the membership to a third three year term in October, 2006

Chair, FINRA Arbitrator Training Committee, 2008

Chair, NASAA Committee, 2008-2009

Member, FINRA National Arbitration and Mediation Committee (2009- Present) (2002-2005)

Appointed by the FINRA Board as one of six public representatives. Committee meets 3-4 times per year to consider securities arbitration and mediation issues and advise FINRA board on rule changes, etc.

Currently serving second three year term.

Chairman, FINRA Arbitrator Training Materials Task Force (2008-2009)

Appointed by the President of FINRA Dispute Resolution to chair the eight member committee charged with reviewing and suggesting changes to training materials provided to FINRA securities arbitrators.

Chairman, Rules and Procedures Subcommittee, FINRA National Arbitration and Mediation Committee (2010-2011)

Chairman, Oregon State Bar Alternative Dispute Resolution Section (2009)

President, Federal Bar Association, Oregon Chapter (1994)

Chairman, Oregon State Bar Securities Regulation Section (1999-2000)

Member, Board of Directors, St. Andrews Legal Clinic (1996-97)

Selected 2005-2011 Speaking Engagements

- Speaker, Oregon Trial Lawyers Association Business Litigation Section Meeting, Securities Arbitration Cases, February, 2011
- Guest Lecturer on Brokerage Firm Liability, Northwestern School of Law at Lewis & Clark College, Seminar on Advanced Business Law, January, 2011
- Public Investors Arbitration Bar Association 2010 Annual Meeting, Jacksonville, Florida - Selected Developments in Broker-Dealer Arbitration
- Northwest Securities Institute February, 2009 Portland, Oregon - “Recent Developments in Securities Arbitration and Broker Dealer Regulation”
- NASAA (North American Securities Administrators Association) Enforcement Conference, January, 2009 “Trends in Broker-Dealer and Investment Advisor Fraud From The Investor Attorney Perspective
- FINRA Fall Conference, Claimant Representative, Arbitration Panel moderated by FINRA Dispute Resolution President Linda Fienberg (Carlsbad, California October 23, 2008)
- Oregon Law Institute, The Changing Face of Commercial Arbitration, Arbitration Developments Panel (Portland, Oregon September 26, 2008)
- Oregon State Bar Securities Regulation Section, Portland, Oregon: *Houston v. Seward & Kissel, LLP: A New Case On Oregon Blue Sky Laws* (April, 2008)
- Oregon State Bar Securities Regulation Section: *The Merger of the NASD and NYSE and What It Means For Securities Arbitration and Regulation* (Portland, Oregon May, 2007)
- North American Securities Administrators Association: “*Private Securities Lawyers and State Regulators Should Work Together*” (NASAA Annual Enforcement Conference, Orlando, Florida, January, 2007)
- Practicing Law Institute, *Securities Arbitration: Taking Responsibility* (Faculty Member)(New York City, August, 2006)
- New York City Bar Association, *Recent Developments in Securities Arbitration* (West Coast Faculty Representative)(Summer, 2006)
- Oregon State Department of Finance and Corporate Securities, Salem, Oregon, Speaker, *NASD Securities Arbitration* (Spring, 2006)
- Public Investors Arbitration Bar Association California Mid-Year Meeting, Los Angeles, California “*Common Brokerage Firm Defenses*” (Spring, 2006)
- Public Investors Arbitration Bar Association Annual Meeting, La Costa, California “*Multi Jurisdictional Arbitration Practice in light of Jevne v. Superior Court,*” (October, 2005)
- Public Investors Arbitration Bar Association Annual Meeting, Tucson, Arizona, “*Welcoming Address*” and “*NASD Code Rewrite*” (October, 2006)

Selected Publications

- Practicing Law Institute, 1 Securities Arbitration 2006 at 225, *The NASD’s Explained Awards Rule Filing*
- Practicing Law Institute, 1 Securities Arbitration 2003 at 253, *Clearing Firms and the 2002 Uniform Securities Act: What You Didn’t Know Could Have Hurt You*
- Practicing Law Institute, Securities Arbitration 2001 at 565, *Clearing Firms, The Uniform Securities Act, and Koruga v. Fiserv Correspondent Services, Inc.*
- Practicing Law Institute, Securities Arbitration 2000 at 995, *Investor Protection-Not! SIPC and The Securities Investor Protection Act of 1970*
- Practicing Law Institute, Securities Arbitration 2008 (forthcoming) *A Comment On the Financial Industry Regulatory Authority’s Proposed Rules On Motions To Dismiss.*

Selected Decisions

Boyer v. Salomon Smith Barney, Inc. 344 Ore. 583 (2008)

Houston v. Seward & Kissel, LLP, 2008 U.S. Dist. LEXIS 23914 (March 27, 2008) *Marshall, et al. v. McCown DeLeeuw*, 391 F. Supp. 2d 880 (D. Idaho 2005)

Estate of Aguirre v. Koruga (II), 2005 U.S. App. LEXIS 25234 (9th Cir. 2005)

Estate of Aguirre v. Koruga (I) 2002 U.S. App. LEXIS 14632 (9th Cir. 2002)

Koruga v. Fiserv Correspondent Services, Inc., 183 F. Supp.2d 1245 (D.Or. 2001), 2002 U.S. App. LEXIS 6439 (9th Cir. 2002)

Education

Reed College, B.A. 1977

University of Wisconsin Law School, J.D. 1982

Bar Memberships

Oregon, Massachusetts, Wisconsin, and admitted *pro hac vice* in other states including Washington, Idaho, California, New York and Florida

Community Service

Middle School Mock Trial Instructor

Youth Baseball Coach (2001-2009)

Personal

Grew up in New York and New Jersey, Oregon resident for 20+ years, married 16 years to Valerie Banks, two teenage sons, former marathon competitor, and current runner and fly fisherman.