

**LINDA R. ALPERT**  
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## **EDUCATION**

**Brooklyn Law School**, J.D. 1984, *cum laude*  
**Brandeis University**, B.A. 1979

## **BAR ADMISSIONS**

**Admitted:** New York; U.S. District Court, S.D.N.Y. 1985  
New Jersey State Court 1987

## **ADR EXPERIENCE**

- Westchester Mediation Center of Cluster, Inc., Yonkers (volunteer certified mediator)
- NYS Supreme Court Commercial Division, White Plains and Manhattan (certified commercial mediator)
- Handled mediations and arbitrations as counsel for Citigroup and its predecessor firms over a twenty year period.

## **Financial Compliance and Legal Experience**

### **BLOOMBERG LP, New York, NY**

**Nov. '07 – Jan. '10**

Legal Analyst, Contract Position through Juristaff Legal Staffing

- Wrote and edited useful, current and timely legal analyses and outlines on a wide variety of broker-dealer, investment adviser and compliance topics including Sarbanes-Oxley, ERISA, corporate governance, suitability, due diligence, supervision and various securities and commodities rules and regulations of FINRA and the NYSE, thereby expanding and adding value to Bloomberg's customer database offerings.
- Created content for web-based legal research tool, providing Bloomberg customers an innovative way of researching SEC opinions and litigation releases.
- Conducted quality reviews and collaborated on improvements to Bloomberg web products in order to stay current with legislative changes.

### **PRYOR CASHMAN SHERMAN & FLYNN LLP, New York, NY**

**June '05 – Dec. '05**

Of Counsel, Contract Position

- Led a team of lawyers in a comprehensive review of a major brokerage firm's internal policies to ascertain compliance with an SEC order.
- In coordination with compliance personnel, suggested revisions to the relevant policy and procedure manuals to improve readability and enhance uniformity and compliance with the relevant rules.
- Organized and drafted final report to the SEC detailing results of assessment, emphasizing the firm's revised policies and procedures and substantiating that the firm was in compliance with the terms of the order.

**CITIGROUP GLOBAL MARKETS INC., New York, NY**  
Senior Vice President, Associate General Counsel, Litigation Unit  
(including Smith Barney, Inc., Smith Barney Shearson, Inc., and Salomon Smith Barney, Inc.)

**Aug. '84 – Mar. '05**

- Provided Smith Barney, its successor firms, and its employees with expert legal advice and defense of a variety of securities, commodities, commercial, compliance, regulatory and employment-related claims, involving NYSE, FINRA, CFTC, and NFA rules and regulations, thereby saving hundreds of thousands of dollars each year in potential judgments and legal fees.
- Successfully handled a yearly caseload of hundreds of arbitration and litigation claims; composed pleadings, conducted legal research, drafted and orally argued motions, attended preliminary and settlement conferences, noticed and defended depositions, designed discovery requests and responses, wrote briefs, prepared witnesses for trial, acted as sole trial counsel at arbitration hearings and mediation conferences, and negotiated settlements.
- Selected and closely supervised outside counsel, and ensured that all matters were handled in a timely manner and within the pre-specified budget range.
- Responded to complaints involving trust and estate issues, margin problems, dividends, mutual funds and investment advisor-managed accounts.
- Educated support staff on best practices for responding to discovery requests, privacy issues, regulatory inquiries and enforcement actions, including updating of broker regulatory U-4 and U-5 forms. Advised compliance department on complicated legal and compliance issues including KYC, AML, and SAR reports so as to achieve best practices in these areas.
- Educated and trained a team of paralegals to respond to Citigroup corporate subpoenas and restraining notices.

### **Legal Experience**

**CLIMATE CHANGE & ENVIRONMENTAL SERVICES, INC.**  
Mamaroneck, NY  
Counsel to family-owned business

**Jan. '10 – present**

Draft, analyze, review and negotiate consulting and other business contracts for environmental engineering firm. Provide general legal advice and support.

**LOEB & LOEB LLP, New York, NY**  
Freelance writer and editor

**May '12 – Sept. 12**

Conducted legal research and provided summaries and analysis of judicial decisions, legislation, regulations, enforcement actions and industry developments on a variety of current topics including online privacy and data security, advertising, marketing and promotions, and copyright and trademark infringement.

### **CIVIC AND LEGAL ASSOCIATIONS**

- FINRA chair-qualified industry arbitrator
- Member, Women's Bar Association of Westchester, Westchester Bar Association, NYC Bar Association, and Association For Conflict Resolution
- Board Member and President of KEEPS, Inc., a Mamaroneck after-school program
- Trustee of Westchester Jewish Center, Mamaroneck, NY