



MICHAEL W. EMERSON, ESQ.

Financial Services Specialist

Michael W. Emerson, Esq. is a financial services industry veteran who has practiced law for more than thirty-five years. He has served as a U.S. General Counsel and a Deputy General Counsel at several of the world's largest financial institutions. Mr. Emerson has extensive legal and compliance financial services experience having worked on numerous matters involving U.S. broker-dealers, U.S. and foreign banks and investment banks, as well as with institutional and high-net-worth customers. In particular, Mr. Emerson has spent many years working on a variety of sales and trading issues, mergers and acquisitions, over-the-counter financial derivatives, structured products (including mortgage-backed securities) and various issues involving brokers and customers.

Immediately prior to his current role as a neutral with NAM (National Arbitration and Mediation), Mr. Emerson served as the General Counsel at Signature Bank, where he was responsible for the legal aspects of the bank and its affiliated broker-dealer's activities, including litigation and employment matters, transactions, new business initiatives and documentation. He also evaluated the legal, compliance, operational, and reputational risks of these institutions.

Mr. Emerson is well-respected and highly regarded throughout the financial services industry, where he previously held several senior positions that included: Head of Legal, Compliance and Regulatory Relations for the New York Branch of Australia New Zealand Banking Group; General Counsel at both the Banking Division at the New York State Department of Financial Services and HSBC, N.A. and Managing Director and Deputy General Counsel at Credit Suisse. Mr. Emerson was extensively involved in pursuing claims by Credit Suisse against Enron during Enron's insolvency, and by HSBC against Bernie Madoff immediately following Mr. Madoff's Ponzi scheme. Mr. Emerson also has prior mediation experience as a lawyer representing his clients.

A long-time proponent of Alternative Dispute Resolution, Mr. Emerson uses his extensive experience in the financial services industry when mediating and arbitrating in a private ADR forum. He is recognized by his peers both for his keen legal acumen and for his deep business background and experience, making him exceptionally well-qualified to be an effective mediator and arbitrator with NAM.

Michael Emerson is available to arbitrate and mediate financial and other matters throughout the New York metro area, as well as Massachusetts, Vermont and Florida.

AREAS of EXPERIENCE

- Commercial
 - Business Disputes
 - Contract Negotiation & Disputes
- Corporate Finance
 - Public and Private Offerings
 - Other Investments and Financings
- Family Financial Disputes

- Investment Banking
- Private Banking
- Mergers and Acquisitions
- Closely Held Companies
 - Security Valuations
- Capital Markets
 - Financial Derivatives and other financial products
 - Structured Finance, including mortgage-backed securities

LEGAL EXPERIENCE

- General Counsel, Signature Bank, 2015-2018
- Head of Legal, Compliance and Regulatory Relations, ANZ-NYB, 2013-2015
- General Counsel, Banking Division, New York State Department of Financial Services, 2012-2013
- General Counsel, HSBC, N.A., 2005-2011
- Managing Director and Deputy General Counsel, Credit Suisse, 1992 - 2005
- Vice President and Counsel, Bankers Trust Corporation, 1990-1992
- Vice President and Counsel, The First Boston Corporation, 1988-1990
- Associate, Cadwalader, Wickersham & Taft, 1986-1988
- Associate, Sage Gray, Todd & Sims, 1984-1986

PROFESSIONAL LICENSES and ADMISSIONS

- New York State Bar
- FINRA Series 7 (Registered Representative); Series 24 (General Principal); and Series 27 (Financial Principal) licenses

PROFESSIONAL AFFILIATIONS

- New York State Bar Association (Dispute Resolution Section)

EDUCATION

- Georgetown University, JD *cum laude*
 - Securities and Exchange Commission, Office of the General Counsel (full-year clinic)
- State University of New York at Albany, BS *magna cum laude*
 - Double major in Economics and Business Administration/Finance concentration