

WEBINAR EVENT - MARCH 2007

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Avoiding Traps In Your Transition:

Negotiating Your Bonus Arrangement and Employment Terms When Moving To A New Brokerage Firm

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Date: March 13, 2007

Time: 11:30 A.M. CENTRAL

Presented By:

James J. Eccleston, J.D.

James Eccleston is a partner at SNSFE where he heads the securities group. He is a registered investment adviser with extensive experience representing investors as well as financial services professionals. Mr. Eccleston has won substantial arbitration awards for compensatory damages resulting from wrongful termination and Form U-5 defamation. These awards have included Form U-5 amendments to remove defamatory language as well as declaring an outstanding promissory note balance to be null and void. Mr. Eccleston also obtained the largest jury verdict ever at the time in Cook County, Illinois for a defamation and wrongful termination for a business executive. Mr. Eccleston frequently assists financial advisors with regulatory, employment and business matters as they move from one firm to another.

Mr. Eccleston has held numerous securities licenses - investment adviser (Series 65), securities principal (Series 24), and securities representative (Series 7) with the National Association of Securities Dealers. He is qualified as an arbitrator (chairperson) and mediator with the NASD and has served as both.

He is a recipient of numerous peer-review awards, including Super Lawyer and Leading Lawyer, and is A-V rated by Martindale-Hubbell.

Additionally, Mr. Eccleston is a speaker, writer and contributing author for professional publications. For more information about Mr. Eccleston, please go to our website at snsfe-law.com.

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