

**MICHAEL PYSNO, ESQ.**  
***Mediator and Arbitrator***

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## **SUMMARY**

I am a knowledgeable and skilled securities and employment litigation and regulatory attorney currently practicing as a mediator and arbitrator. I have evaluated and settled disputes in a creative, practical manner for over 35 years.

## **EXPERIENCE**

**MICHAEL PYSNO, ESQ., MEDIATOR AND ARBITRATOR, Plymouth, Minnesota**  
2013 – Present

- Mediated disputes between securities broker-dealers and their customers over financial losses
- Mediated race, sex and disability discrimination claims between employers and employees
- Mediated education discrimination claim between school district and parent of student
- Financial Industry Regulatory Authority (FINRA) Qualified Mediator
- Financial Industry Regulatory Authority (FINRA) Arbitrator (non-public)
- Qualified neutral under Rule 114 of the Minnesota General Rules of Practice

**RBC CAPITAL MARKETS, LLC, Minneapolis, Minnesota, 2003 – 2013**  
**Managing Director, Senior Associate General Counsel**

- Evaluated, litigated and resolved disputes in state and federal courts, in FINRA and AAA arbitration, and with regulatory agencies. Matters included customer vs. broker-dealer disputes, securities class actions, municipal bond disputes, employment discrimination, employee recruiting and raiding, wrongful discharge, vendor contracts, merger and acquisition disputes, collections.
- Advised management on proper litigation reserves and accruals for significant matters.
- Supervised the RBC Wealth Management law group team responsible for retail customer disputes, collection and employment matters, and responses to court orders, subpoenas and other requests for information from non-customers.
- Conducted and supervised internal inquiries on regulatory matters and legal claims; coordinated responses to regulatory inquiries and investigations.

**DORSEY & WHITNEY LLP, Minneapolis, Minnesota, 2001 – 2003**

**Senior Attorney**

- Managed factual investigations, discovery matters, risk analysis, and local counsel coordination on over 40 interrelated complex class actions pending in 14 states involving multiple parties.
- Litigated matters in state and federal court; represented clients in SEC investigations.
- Advised clients on litigation risk and multiple case management.

**U.S. BANCORP (formerly First Bank System, Inc.), Minneapolis, Minnesota, 1993 – 2001**

**Vice President and Associate General Counsel**

- Managed litigation and negotiated settlements of a variety of complex, and often contentious, commercial and class action cases in a variety of substantive areas, including check fraud, lender liability, personal and corporate trust, construction defects and environmental.
- Advised management on proper litigation reserves and accruals for significant matters.
- Advised on banking and securities regulation, insurance coverage and procurement, employment and employee benefits.
- Coordinated and responded to SEC and other regulatory inquiries and investigations.
- Participated in mergers and acquisitions due diligence and evaluation
- Coordinated corporate compliance programs
- Reviewed, negotiated and terminated vendor contracts.
- Supervised multi-city-based staff providing legal services in consumer banking, employment, intellectual property, litigation management, corporate and personal trust and legal process response.

**INTER-REGIONAL FINANCIAL GROUP, INC. (now known as RBC Capital Markets, LLC)**

Minneapolis, Minnesota, 1992

**Deputy General Counsel**

- Managed securities class actions, employment claims including employment discrimination and employee raiding and recruiting, and employee and customer collections.
- Advised human resources department on all areas of employment law.
- Responded to and coordinated SEC, NASD and other regulatory investigations.
- Reviewed marketing materials for regulatory compliance.

**FIRST BANK SYSTEM, INC., Minneapolis, Minnesota, 1987 – 1991**  
**Corporate Counsel**

- Advised company's human resources department on all aspects of employment, including issues related to major reductions-in-force. Developed and presented interactive training programs to hundreds of managers on various employment law topics including sexual harassment, defamation and discrimination.
- Managed litigation involving or affecting the parent bank holding company.
- Advised on insurance procurement and coverage issues.

**DORSEY & WHITNEY, Minneapolis, Minnesota, 1981 – 1987**  
**Associate**

Litigated cases in a variety of substantive areas: antitrust; construction acceleration and delay claims; dealership terminations; employment discrimination; mechanics' liens; owner-contractor disputes; products liability involving pharmaceuticals, toxic substances and construction materials; shareholder class actions; subcontractor claims; violation of state franchise acts; wrongful discharge.

**EDUCATION**

J. D., *cum laude*, Brooklyn Law School, Brooklyn, New York, June 1981

- Law Review 1979-81, Articles Editor 1980-81; Brooklyn Law School Faculty Prize; Dean's List

B. A., Speech-Communications, University of Minnesota, Minneapolis, June 1976

- Department of Speech-Communications Scholarship Award; Dean's List

Graduate of the Securities Industry Institute, The Wharton School, University of Pennsylvania, Philadelphia, Pennsylvania, March 2012

**BAR ADMISSIONS**

State of Minnesota; U. S. District Court for the District of Minnesota; U. S. Court of Appeals for the Eighth Circuit; U. S. Supreme Court.

Qualified neutral under Rule 114 of the Minnesota General Rules of Practice

Financial Industry Regulatory Authority (FINRA) Qualified Mediator

Financial Industry Regulatory Authority (FINRA) Arbitrator (non-public)

## PRESENTATIONS AND PANELS

“Whether and When to Settle a Securities Mediation,” Securities Arbitration and Mediation 2017, New York State Bar Association, New York, NY, April 2017

“Preparation for Employment Disputes in Securities Arbitration,” PLI Securities Arbitration 2016, New York, NY, October 2016

“Deferred Compensation Plans – Traps for the Unwary Broker,” 2014 PIABA Annual Meeting, October 2014

“Compliance and Privilege Affecting In-House Counsel,” Hot Topics in Business Law, Hamline University School of Law Business Law Institute, St. Paul, MN, October 2014

“Litigate or Mediate: Mediation as an Alternative to Litigation in Hennepin County,” Hennepin County Bar Association, Minneapolis, MN, May 2014

“Evaluating Litigation Risk,” Litigation at the C-Level, Hennepin County Bar Association, Minneapolis, MN, February 2013

“Staffing: Maximizing In-House Capabilities and Staffing Efficiencies to Reduce Reliance on Outside Counsel,” 6th Annual Forum on Reducing Legal Costs, American Conference Institute, Philadelphia, PA, October 2011

“Settling Securities Litigation: Strategies and Exposure,” 4th Securities Litigation Conference, IQPC, New York, NY, May 2008

“Litigation as Business: Current Trends in the Management of the Law Department’s Case Load,” Foley & Lardner Business Litigation Conference, Coral Gables, FL, December 2007

“Litigation Management: Par for the SuperCourse,” Network of Trial Law Firms, Pebble Beach, CA, April 2007

“Customer Complaints,” SIA Legal and Compliance Seminar, Phoenix, AZ, March 2007

“Multijurisdictional Practice Issues Affecting In-House Counsel,” Recent Ethics Developments for Corporate Counsel, Hennepin County Bar Association, Minneapolis, MN, March 2003

“Counseling Outside of Minnesota,” Ethics for the In-House Counsel, Hennepin County Bar Association, Minneapolis, MN, April 2002

“Ethics and the Working Partnership Between Inside and Outside Counsel,” Products Liability, Minnesota Institute of Legal Education, Bloomington, MN, July 1993

“The Latest on Employee Handbooks,” 6th Annual Conference on Employment Law, Hamline University School of Law, Bloomington, MN, October 1988

Member of the American Bar Association Section of Alternative Dispute Resolution, Minnesota and Hennepin County Bar Associations, and SIFMA Compliance and Legal Society. Former member of the Association of Corporate Counsel.

Veteran of the U. S. Air Force – 1970-1974