



### Rob Harris

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### Professional Summary

Longstanding arbitrator and mediator of complex commercial matters predicated upon two decades as a business litigator, followed by senior in-house counsel positions in the hedge fund, financial services and real estate industries. Particular affinity for emotionally charged contractual and employment disputes involving a company's owners, principals and senior level executives, especially those involving financial services relationships and business divorces. In addition to participating on its general Commercial, Employment, Construction and Consumer panels, serves on American Arbitration Association's specialty panels for Large Complex Cases, Mergers and Acquisitions and Joint Ventures, as well as its Financial Services Advisory Committee, and also is a member of FINRA's mediation and arbitration panels.

### Current Employment

Full time Arbitrator and Mediator

### Alternative Dispute Resolution Experience

Since 1990, has served as an arbitrator and mediator of business and employment disputes. Has been a prominent participant in the Alternative Dispute Resolution community, including serving a three-year term as chair of the Connecticut Bar Association's Dispute Resolution Section. Diplomat member of the National Academy of Distinguished Neutrals. Inaugural member of the Association of Commercial and Transactional ADR Professionals (ACT-ADR), an organization of skilled dispute resolution professionals with in-depth experience in corporate, transactional and financial matters.

Particular experience and strength in the efficient management of complicated and sometimes contentious disputes, often arising in the financial services industry and/or involving the owners and principals of closely held and family-owned businesses. Has served as an arbitrator (including serving as chair and member of three arbitrator panels) in commercial, contractual and employment disputes involving corporations, partnerships, limited liability companies, management, shareholders, investors, management, senior employees, vendors and contractors that have encompassed financial services (e.g., hedge fund, private equity, banking, asset management, fundraising, placement agents and capital markets), professional services (e.g. medical, legal and accounting), real estate development and construction, franchise, manufacturing and information technology.

Matters have included:

- Breach of contract and other contractual disputes between commercial entities, including complex relationships that involve multiple contracting parties involving claims of substantial damages
- Business divorces and business torts, including purchase, sale, division of ownership interests, assets, operations, management succession, indemnification, ongoing relationships and opportunities
- Mergers & Acquisitions, Joint Ventures and Strategic Relationships, and their attendant issues (e.g. breaches of representations and warranties, non-competition and non-solicitation provisions, earn-outs, employment agreements, fraud and misrepresentation, payment)
- Disputes between financial services companies and their principals and employees, including portfolio managers, fund managers, investment managers and registered investment advisors
- Privately owned business disputes (e.g., including misrepresentations and material omissions in contractual documents, breach of fiduciary duties by officers, directors and/or shareholders, usurpation of corporate, company and partnership opportunities, management and principal controversies, risks created by personal guaranties, the termination of credit by lenders, complications created by the divorce of an owner, nepotism, and noncompetition and non-solicitation provisions)
- The separation of professionals (e.g. physicians, attorneys, accountants) from practice groups, and attendant issues (e.g. compensation and equity valuation, breach of fiduciary duties, personal guaranties of corporate obligations, non-competition and non-solicitation agreements, and real estate ownership)
- Employment disputes, especially for senior level executives, including compensation, termination, non-compete, non-solicitation and severance issues, equity participation arrangements, covenants not to compete, trade secrets, and usurpation of corporate opportunities
- Construction disputes, including delay claims, wrongful termination, deficient work, subcontractor and supplier performance, and payment issues
- Professional negligence and malpractice in legal, construction and financial services industries, including liability and issues involving statutes of limitation, continuing course of conduct, causation and damages
- Franchise matters, including offering document misrepresentation, franchise fees, lack of franchisor support, and franchisee's failure to comply with requirements
- Valuation disputes pertaining to majority and minority business ownership interests, real estate and other assets

A more detailed description of recent arbitration and mediation matters is available at [positivelyneutral.com](http://positivelyneutral.com).

## Professional History

Senior Vice President and Deputy General Counsel, Radian Group Inc., 2014–2023; General Counsel, Clayton Holdings LLC (acquired by Radian Group Inc.), 2012–2014; Attorney, Levett Rockwood P.C. (now, Verrill Dana), 2011–2012; General Counsel and Chief Administrative Officer, OpHedge Investment Services LLC (now, Citco Fund Services), 2005–2010; Zeldes Needle & Cooper, 1982– 2005.

## Professional Experience

Multiple legal careers, first as a litigator of commercial and employment disputes, followed by service as inside counsel to two financial services companies.

Litigation experience (1982–2005, 2011–2012) encompassing all aspects of the business enterprise, including mergers, acquisitions and joint ventures, employment matters (especially involving senior management's contractual, compensation, non-disclosure, non-competition and non-solicitation rights and obligations), supplier, client and customer relationships, financing arrangements, real estate development and ownership issues, and the contractual and fiduciary relationships existing among partners, shareholders and limited liability company members. Experience also included professional negligence and malpractice matters in legal (attorneys), construction (contractors and architects) and financial services (accountants) industries.

In-house experience (2005–2010, 2012–Present) first involved service as general counsel, chief administrative officer and corporate secretary to OpHedge Investment Services, LLC (subsequently acquired by Citco Fund Services), a multinational hedge fund administrator that serviced some of the industry's largest and most complex hedge funds, asset managers and private equity funds. At OpHedge, had ownership of all legal matters for the company and its three international subsidiaries, and was a member of the senior management team that in five years took the company from start up to a successful exit liquidity event.

In 2012, commenced service as general counsel to Clayton Holdings LLC (a multinational mortgage and real estate services company serving investment banks and other institutional investors) acquired by Radian Group Inc. (NYSE:RDN) in 2014. Title at Radian was Deputy General Counsel, Real Estate Services.

Responsibilities from 2012–23 encompassed serving as the chief legal officer for Clayton and Radian's products and services used by financial institutions, investors, GSEs and governmental entities to evaluate, acquire, securitize, service and monitor loans, real estate assets and asset-backed securities, including legal oversight of contractual, litigation, human resources, intellectual property, information technology, leasehold, mergers, acquisitions and divestitures matters for loan due diligence, asset management, title, valuations and real estate brokerage businesses.

International experience both in private practice and as in house counsel, including representation of international clients in litigation and arbitration matters, representation of association of European medical device distributors, and oversight of legal matters for international corporate subsidiaries (Shanghai, United Kingdom and Cayman Islands), including licensing and regulatory, employment, leasehold and real estate, corporate formation and divestiture issues.

## Education

University of Virginia (JD–1982); Haverford College (BA–1978).

## Professional Licenses

Admitted to the Bar: New York (2005), Connecticut (1982); U.S. District Court: Connecticut (1982), S.D.N.Y. (2012); U.S. Court of Appeals: Second Circuit.

## Professional Associations

American Arbitration Association (Panels: Large, Complex Cases; Commercial; Employment; Construction; Consumer)

National Academy of Distinguished Neutrals

Association of Commercial and Transactional ADR Professionals (ACT-ADR)

FINRA (Mediation Panel)

New York 9<sup>th</sup> Judicial District Roster of Mediators

AAA-ICDR Financial Services Advisory Committee

American Bar Association

Connecticut Bar Association

American Bar Foundation

Connecticut Bar Foundation

## Honors and Recognition

National Academy of Distinguished Neutrals

Recipient, Honorable Robert C. Zampano Award for Excellence in Mediation

Former Chair, Connecticut Bar Association Alternative Dispute Resolution Section

Martindale–Hubbell, AV Peer Rated for Highest Level of Professional Excellence

Best Lawyers in America (Mediation)

## Representative Publications and Speaking Engagements

QUARTERLY NEWSLETTERS: Positively Neutral: “The Upside of Mediation ‘Reasonableness’ Over ‘Righteousness’”; “Bridging the Valuation Gap: Strategic Tools for Managing Damages Disputes in Arbitration”; “What Do Business-To-Business Arbitration And A Well-Tailored Suit Have In Common?”; “Kool-Aid®, Goalposts and Uncle Harry”; “Prioritizing Process”; “Hidden Agendas”; “A Man Needs To Know His [Statute Of] Limitations”; “Good Grief”; “Mediation Is Not Just For Settlement”; “Arbitration Snoozing And Losing”; “Sometimes There's Not Much To Fight Over”; “A Tailor Made Arbitration”; “When A Mediator Is A Lawyer's Best Friend”; “Welcoming Mediators To The (Business) Divorce”; “Arbitration Confidentiality Isn't Always What It Seems”

OTHER REPRESENTATIVE PUBLICATIONS: “A Return to First Principles: Individual Mediation as an Alternative to Mass Arbitration,” DISPUTE RESOLUTION JOURNAL®, 2025; “Arbitration is Not Litigation,” CT LAWYER, Jan-Feb, 2024; "Golf Dispute Resolution," (www. golfdisputeresolution.com); "Private Equity Firms: Centralizing the Review of Litigation Risk of Portfolio Companies," CLIENT NEWSLETTER, 2011; "Keeping Doctors Out Of The Courthouse: Why Mediation Is Well-Suited For Physicians' Business Disputes," CLIENT NEWSLETTER, 2011; Contributing writer, monthly columnist on ADR topics, CONNECTICUT LAW TRIBUNE, 2002–05; "The Passionate World of Business Divorce: Some Tips for Counsel," DISPUTE RESOLUTION JOURNAL, 2004; contributing author, MEDIATION PRACTICE BOOK, 2002; "Developing a Mediation Culture Among Commercial Litigators," CONNECTICUT LAWYER, 2000

REPRESENTATIVE SPEAKING ENGAGEMENTS: “Tell It to the Arbitrators and Arbitration Providers,” New York State Bar Association, 2023; “Arbitration is Not Just Litigation Sitting Down,” Connecticut Bar Association, 2023; "Avoiding the Litigation Time Bomb: Successful Strategies for the Golf Industry," PGA Merchandise Show, January 2012, Orlando; Co-Chair, "An Arbitration Grand Slam, Reestablishing the Goals for Quicker, Cheaper, Better Protocols for Corporate and Transactional Counsel," Connecticut Bar Association and Westchester–Fairfield County Corporate Counsel Association, 2011; "What You Don't Know About ADR Can Hurt You," Connecticut Bar Association, 2010; "Regulation of ADR Provider Organizations," John A. Speziale Fifth Alternative Dispute Resolution Symposium, 2005; "Recent Developments in Alternative Dispute Resolution," Connecticut Bar Association, 2004; "Negotiating Skills," Connecticut Association of School Business Officials, 2004; "Contracts and ADR: Everything A

Transactional Attorney Needs to Know About Arbitration and Mediation But Never Bothered to Ask," Connecticut Bar Association, 2003; "Avoiding or Surviving Litigation," Chamber of Commerce, 2002; "Resolving Disputes Among Owners of Closely Held and Family Businesses," Connecticut Bar Association, 2001