

CURRICULUM VITAE

JAMES J. MOYLAN

CURRENT POSITIONS

James J. Moylan and Associates, P.C.
P.O. Box 775965
31685 Inca Way
Steamboat Springs, CO. 80477-5965
970-870-0730 (O)
Web-site – www.jjmoylanlaw.com

Practicing: Litigation, Arbitration and Mediation in Securities, Commodity Futures, Civil Litigation, Registration and Regulatory Filings, and General Corporate Law.

Adjunct Professor of Law
Securities Litigation (Fall Semester, 2005, 2006, 2010, Spring Semester 2014, Fall Semester 2020)
Securities Regulation (Spring Semester 2020)
University of Denver, College of Law
2255 East Evans Ave.
Denver, CO. 80208

Adjunct Professor:
Para-Legal and Criminal Justice Programs - (Business Organizations, Constitutional Law, Civil Procedure, Contracts, Criminal Justice, Juvenile Law and Procedure, Legal Research, Substantive Criminal Law and Tort Law)
Colorado Mountain College
Alpine Campus
1330 Bob Adams Dr.
Steamboat Springs, CO. 80477

ACTIVITIES

Arbitrator:

Financial Industry Regulatory Authority – Dispute Resolution, Inc., (“FINRA – DR”)
(f/k/a NASD-Dispute Resolution, Inc. “NASD-DR”)
Chicago Board Options Exchange, Inc.
New York Stock Exchange, Inc.
National Futures Association
Chicago Mercantile Exchange, Inc.

Mediator: FINRA-Dispute Resolution, Inc. - Certified
Illinois Securities Department Advisory Committee (Former)
Rocky Mountain Public Broadcasting System – Board of Directors (2007- 2013)

PRIOR PROFESSIONAL POSITIONS

Adjunct Professor of Law (Former)
Securities Regulation
IIT Chicago-Kent College of Law
565 West Adams Street
Chicago, Illinois 60661
(1976-2002)
Former Hearing Officer – Illinois Securities Department
Former Cook County Court Annexed Mandatory Arbitration System Arbitrator

BOARDS AND COMMITTEE SERVICE

National

Foundation Chapter of Theta Chi Fraternity, Inc. - President, (2009-2011), Director (2007-2009),
President (2003 -2007)
North-American Interfraternity Conference (NIC) Foundation, Inc. – Board of Directors and
Secretary (2002-2009)
Theta Chi Fraternity – Theta Chi Funds for Leadership and Education, Inc. – Chairman, Board of
Directors (2000-2003)
Grand Chapter Theta Chi Fraternity, Inc. - (Board of Directors), (1993-2000)
University of Denver, College of Law – National Law Alumni Council (Two terms ended 1996)

Steamboat Springs, Colorado:

Steamboat Springs Liquor License Authority – Hearing Officer (Current)
Steamboat Springs Medical Marijuana Compliance Department – Hearing Officer (Current)
Steamboat Springs Recreational Marijuana Compliance Department – Hearing Officer (Current)
City of Craig Liquor License Authority – Hearing Officer (Current)
Historic Preservation Policy Review Committee – Chair (2008 - 2009)
The Steamboat Pilot and Today – *Steamboat Today*, Editorial Board–Community Representative
(May 2007-September 2007 Term)
Board of Adjustment – Chair (Current)
Community Support Money Steering Committee - Chair (2006 -2008)
Growth Management Advisory Group – Vice-Chair (2005 – 2006)
Finance Council–Holy Name R.C. Church (Current)
Rotary Club of Steamboat Springs – Board of Directors (2010- 2016), President 2014-2015,
(Current Member.)
Rotary District 5440 – Assistant District Governor (“AG”) – (2017 – Present.)
YVMC - Foundation – Board of Directors (2011-Present), Chair 2014-2016.
Steamboat Symphony Orchestra – Secretary, Board of Directors (2010-2012)
Leadership Steamboat – 2016-2017.
City 101 – 2018.
Citizen’s Police Academy – 2018.

EDUCATION

University of Denver, College of Law – Juris Doctor – December, 1971 – top 25 Percent of Class.

University of Denver, College of Business Administration – B.S.B.A. – June, 1969.

PUBLICATIONS

- “Is an Internet ‘Road Show’ an Oral or Written Prospectus under the Securities Act?,” 90 Illinois Bar Journal 32 (January, 2002), (co-authored)
- “Hedge-to-Arrive Contracts: Jurisdictional Issues Under the Commodity Exchange Act,” 18 Northern Illinois University Law Review (Summer, 1998), (co-authored)
- “Exchange Memberships: An Overview of the Issues Pertaining to the Property Rights of a Bankrupt Member and His Creditors,” 9 The Journal of Futures Markets 461 (October, 1989), (co-authored)
- “Arbitration of Customer – Securities Broker Disputes,” 75 Illinois Bar Journal 374 (March, 1987), (co-authored)
- “Dispute Resolution Systems in the Commodity Futures Industry,” 6 The Journal of Futures Markets 659 (Winter, 1986), (co-authored)
- “Private Rights of Action Under the Commodity Exchange Act – The Supreme Court Decides,” 16 John Marshall L. Rev. 307 (Spring, 1983), (co-authored)
- “Self-Regulation in the Commodity Futures Industry,” 1 The Journal of Futures Markets 501 (Supp. 1981)
- “The Illinois Business Take-Over Act,” 59 Chicago Bar Record 274 (March – April 1978)
- “The Place of Self-Regulation in the Securities Industry,” 6 Sec.Reg.L.J. 49 (Spring, 1978)
- “Exploring the Tender Offer Provisions of the Federal Securities Laws,” 43 George Washington Law Review 551 (January, 1975)
- “State Regulation of Tender Offers,” 58 Marquette Law Review 687 (Summer, 1975)
- “A Survey of Fifth Circuit Securities Law Cases,” 26 Mercer Law Review 1303 (Spring, 1975), (co-authored)
- “Administrative Proceedings Under the Securities Exchange Act of 1934,” 25 Mercer Law Review 671 (Spring, 1974), (co-authored)

- “The Role of the International Telecommunications Union,” 4 Case Western Reserve Journal of International Law 61 (Winter, 1971)

SEMINARS, PANELS – CONTINUING LEGAL EDUCATION PROGRAMS

APEX-CLE: “Securities Law 101,” “Enforcing the Federal and State Securities Laws,”
 “Securities Alternative Dispute Resolution – Arbitration and Mediation.”
 The Rossdale CLE Group – “SEC Whistleblowers,” “Piercing the Corporate Veil.”
 Illinois State Bar Association – Speaker or Panelist – Various Securities and Corporate
 Law Topics
 Commodities Law Institute - Panelist

PREVIOUS EMPLOYMENT

James J. Moylan
 Law Office
 208 S. LaSalle St.
 Suite 1750
 Chicago, IL 60604-1188
 (April, 2003 – August, 2003)

Member
 Chicago Mercantile Exchange
 444 West Jackson Boulevard
 Chicago, Illinois 60606
 (1980-1981)

Partner
 Tressler, Soderstrom, Maloney & Priess
 233 South Wacker Drive, 22nd Floor
 Chicago, Illinois 60606
 (September, 2000 – March, 2003)

Attorney
 Abramson and Fox
 One East Wacker Drive
 Chicago, Illinois 60601
 (June, 1977 – January, 1981)

Partner
 Arnstein & Lehr
 120 South Riverside Plaza
 Suite 1200
 Chicago, Illinois 60606-3919
 (October, 1995 – August, 2000)

Assistant General Counsel
 Chicago Board Options Exchange, Inc.
 141 West Jackson Boulevard
 Suite 2200
 Chicago, Illinois 60604
 (May, 1975 – May, 1977)

James J. Moylan and Associates, Ltd.
 141 W. Jackson Boulevard
 Suite 363
 Chicago, Illinois 60604
 (1981 – September, 1995)

Trial Attorney
 Division of Enforcement
 United States Securities and
 Exchange Commission
 450 5th Street, N.W.
 Judiciary Plaza
 Washington, D.C. 20549
 (March, 1972 – May, 1975)

Board of Directors
Mid-America Commodity Exchange
Division of the Chicago Board of Trade
141 West Jackson Boulevard
Chicago, Illinois 60604 (1983 – 1986)

PROFESSIONAL ASSOCIATIONS

American Bar Association	-	Section of Corporation, Banking and Business Law Section of Litigation
Colorado Bar Association	-	Member
Northwest Colorado Bar Association	-	Member
Illinois Bar Association	-	Corporation, Securities and Business Law Section Council, Member – (Former Chairman, Vice Chairman, Secretary and Newsletter Co-Editor)
Chicago Bar Association	-	Securities Law Committee (Former) Futures Law Committee (Former)

PERSONAL DATA

31685 Inca Way
P.O. Box 775965
Steamboat Springs, Colorado 80477-5965
(970) 879-9072

Born:	February 3, 1948
Height:	6'0"
Weight:	185 pounds
Health:	Excellent
Bar Membership:	Colorado, Illinois, District of Columbia (Inactive)