

DAVID A. WEINTRAUB, ESQ.

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PROFESSIONAL EXPERIENCE

**September 2025-
Present**

GW ADR, LLC – Co-Managing Partner

Full-time Florida Supreme Court Certified Circuit Civil Mediator; utilizing his 40 years of experience representing broker-dealers and their employees (1984 – 1997) and 27 years representing investors and employees of broker-dealers, as well as maintaining a general complex commercial litigation practice, David is devoting his skills to helping litigants reach closure by settling their cases through the Mediation process.

**November 1997 –
September 2025**

DAVID A. WEINTRAUB, P.A.

Complex financial services litigation and arbitration, including regulatory practice, employment and commercial litigation; although I generally represent investors, a significant portion of my practice involved representing members of the financial services industry; my practice was national in scope, allowing me to represent clients in Florida, New York, Nebraska, Puerto Rico, New Jersey, Connecticut, Texas, California, Minnesota, Wisconsin, Georgia, Michigan, Arizona, Illinois, Louisiana and Ohio.

**February 1991 -
October 1997**

PRUDENTIAL SECURITIES INCORPORATED

Boca Raton, Florida

First Vice President, Associate General Counsel

Counsel for Prudential Securities (Florida, Georgia, South Carolina).

Responsibilities included:

- (1) lead counsel in numerous litigation matters;
- (2) represented the firm and its employees in regulatory inquiries and investigations;
- (3) monitored and approved opening of guardianship and other special accounts;
- (4) conducted internal investigations regarding various sales practice issues;
- (5) handled employment and other business / legal issues as they arose in the regular course of a broker-dealer's business; and
- (6) supervised outside counsel.

**August 1984 -
February 1991**

RUDEN, McCLOSKEY, SMITH, SCHUSTER & RUSSELL

Miami, Florida.

Senior Associate in Securities Litigation Group. Extensive involvement in all aspects of federal and state court securities litigation and arbitration, primarily representing major broker-dealers.

BAR ADMISSIONS

Florida, October 1984 - present

Nebraska, 2006-2025

New York, June 2007 - present

Southern District of New York, November 2024 - present

Southern District of Florida, February 1985 - present

Middle District of Florida, June 1985-2025

EDUCATION

Rutgers University School of Law – Camden; J.D. 1984
Vassar College; B.A. Economics 1981

HONORS

Martindale Hubbell – AV Preeminent Rating – Highest Possible Rating in Both
Legal Ability and Ethical Standards Reflecting the confidential opinions of
members of the Bar and Judiciary

2019 Volunteer of the Year – Broward County Guardian Ad Litem

ARTICLES

Common Law Duties Owed by Financial Institutions; ActionLine, a Publication of
the Florida Bar Real Property, Probate & Trust Law Section, Vol. XXXXVI, No. 3,
page 22, Spring/Summer 2025.

*Documentary Stamp Taxes: When is a Written Obligation to Pay Money not a
Written Obligation to Pay Money?* 2023, available upon request

Preventing Financial Exploitation, New York State Bar Association Elder and
Special Needs Journal, Winter 2019, Vol. 29, No. 1

FINRA Interference With Estate Planning, Broward County Bar Association
Barrister, July 2018 and New York State Bar Association, Trusts and Estates Law
Section Newsletter, Summer 2018

Spotting Financial Exploitation, The Elder Law Advocate, The Florida Bar, Winter
2018

Evaluating Professional Designations Utilized by Financial Advisors, The Elder
Law Advocate, The Florida Bar, Summer 2017

When Does “No” Mean “Yes”? With Expungements, Of Course, New York State
Bar Association Journal, March/April 2016

New Rules End FINRA “Whac-A-Mole” Strategy, Daily Business Review, 2014

Use Care When Referring Clients to Professionals, The Elder Law Advocate, 2013

Investment Industry Needs More Educational Requirements, Miami Herald, 2013

Avoiding Negligent Referrals to Rogue Stockbrokers, New York Law Journal, 2012

The Polygraph Examination - A Valuable Arbitration Tool, The Florida Bar
Journal, 2009 and The Nebraska Lawyer, February 2009

When Do Statutes of Limitation Apply in Arbitration?, The Florida Bar Journal,
2007 and The Nebraska Lawyer, November/December 2007

Rogue Stockbrokers and the Duty to Warn, Action Line, a publication of The
Florida Bar's Real Property, Probate & Trust Law Section, 2007 and the NATA
Prairie Barrister, Fall 2007

OTHER ACTIVITIES

2023 – Present Member, Florida Bar CLE Committee

2015 – Present Member, Elder Abuse Committee, New York State Bar Association

2012 – Present Florida Supreme Court Certified Mediator Circuit Civil

1997 – Present Member, Broward County Bar Association

2014 – Present	Member, Abuse, Neglect and Exploitation Committee, within The Florida Bar’s Elder Law Section
1998 – 2025	Member, Public Investors Arbitration Bar Association
2014 – 2024	Guardian Ad Litem Volunteer, Broward County, Florida
July 2020 – June 2021	Vice Chairperson, Florida Bar Legal Needs of Children Committee
July 2020 – June 2021	Co-Chair, Committee on Racial Disparity, The Florida Bar Legal Needs of Children Committee
2017 – June 2023	Member, Florida Bar Legal Needs of Children Committee
2016 – June 2020	Co-Chair of Abuse, Neglect and Exploitation Committee, within The Florida Bar’s Elder Law Section
2015 – 2020	Member, Financial Planning Association
1995 – 2018	Member, Securities Industry Association Compliance and Legal Division
2014 – 2017	Member, Florida Bar Consumer Protection Committee
2012 – 2013	Advisory Council to Commissioner of the Florida Office of Financial Regulation
1987 – 2005	Arbitrator with National Association of Securities Dealers
1995 – 1997	Big Brothers / Big Sisters of Broward County

SPEAKING ENGAGEMENTS

June 10, 2021	Co-Moderator, The Florida Bar Legal Needs of Children Committee, <i>The Over-Representation of Minorities in Florida’s Dependency System</i>
November 13, 2020	Arbitration Advocacy Institute, <i>Securities Mediation – 15 Tips and Anecdotes</i>
August 13, 2020	The Florida Bar, Elder Law Section, <i>Tricks of the Trade, Elder Exploitation Update</i>
January 17, 2020	The Florida Bar, Elder Law Section Annual Update, Co-Moderator of Panel titled <i>Combating Elder Exploitation</i>
August 8, 2019	The Florida Bar, Elder Law Section, <i>Tricks of the Trade, Avoiding the Negligent Referral</i>
November 14, 2018	Financial Planning Association, <i>Protecting Yourself in 2018 and Beyond</i>
March 22, 2018	Florida Department of Health, <i>Elder Exploitation 2018</i>
December 1, 2017	SIFMA C&L Society and FSDA, <i>Senior Investors Panel, panel member and co-author of hypothetical scenarios</i>
October 12, 2017	The Sketchley Exploitation Conference, <i>Stockbroker Exploitation 2017</i>
January 14, 2017	The Florida Bar, Elder Law Section, <i>Stockbroker Exploitation of the Elderly</i>
June 18, 2016	The Florida Bar, Consumer Protection Committee Conference, <i>Expungements and Ban the Box in Florida</i> ; presented at The Florida Bar’s Annual Convention Seminar, “At the Corner of Technology and Consumer Law”
April 28, 2016	Financial Planning Association, <i>Securities Arbitration Update 2016</i>
January 16, 2016	The Florida Bar, Elder Law Section, <i>Avoiding the Negligent Referral</i>
May 20, 2015	Financial Planning Association, <i>Securities Arbitration Update 2015</i>
March 16, 2015	Century Village Pembroke Pines, FL, <i>How to Choose a Financial Advisor</i>

October 21, 2014 University of Miami School of Law, *Securities Mediation 2014*

October 8, 2014 Florida Securities Dealers Association, *Securities Arbitration from the Investor's Perspective*

March 12, 2013 Ocala Estate Planning Counsel, *Anatomy of Hedge Fund Fraud*

July 18, 2012 Florida Institute of Certified Public Accountants, South Dade, *Anatomy of Hedge Fund Fraud*

June 6, 2012 Florida Institute of Certified Public Accountants, Broward County Chapter, *Recipe for Securities Fraud*

September 15, 2009 Financial Planning Association, *Avoiding the Negligent Referral*

June 19, 2009 Florida Bar Attorneys and Trust Officers Liaison Conference, *Investing in 2009, Are You Smarter than a Fifth Grader?*

March 26, 2009 SunTrust Bank, *Investing in 2009, Are You Smarter than a Fifth Grader?*

February 18, 2009 Financial Planning Association, *Investing in 2009, Are You Smarter than a Fifth Grader?*

August 16, 2008 New York State Bar Association, Elder Law Section, *Avoiding the Negligent Referral*

June 12, 2008 Florida Bar Attorneys and Trust Officers Liaison Conference, *Investing in 2008, Are You Smarter than a Fifth Grader?*

October 1, 1999 Northern Trust Bank, *Securities Arbitration and the Intelligent Referral*