

# STEVEN M. GREENBAUM

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## AREAS OF EXPERTISE

Litigation  
Alternative Dispute Resolution  
Privacy and Cybersecurity  
Corporate Governance  
Contracts and Related Disputes  
Risk Management

Advisory and Regulatory  
Online Trading Operations and Clearing  
Regulatory Compliance  
Human Resources  
Anti-Money Laundering Compliance  
Cryptocurrency and Blockchain Oversight

## PROFESSIONAL EXPERIENCE

- **GW ADR, LLC, Managing Member (September 2025-Present)**

Delivers efficient, equitable dispute resolution services, maintaining neutrality and confidentiality while guiding parties towards resolution and upholding legal and ethical standards.

- **TradeStation Securities, Inc., Senior Vice President, General Counsel (2008-March 2025)**

Served as lead counsel for the multi-asset class online broker-dealer/futures commission merchant subsidiary of TradeStation Group, Inc. Assisted in establishment of foreign currency exchange and online cryptocurrency affiliates and advised the affiliates' senior management and legal and compliance departments on risk management, dispute resolution, and regulatory enforcement. Directly managed FINRA and NFA arbitrations, CFTC reparations, mediations, regulatory inquiries, and enforcement investigations. Oversaw securities, commodities, patent, and employment-related court litigation and mediations, and administered the Privacy, Anti-Money Laundering, and Fraud Prevention teams. Advised management and the chief compliance officer on a broad array of legal and regulatory issues, including best execution and order routing disclosures, margin, short selling, outside business activities, selling away, cross border, risk management, vendor management, and human resources. Advised on internal policies and procedures and employment training.

- **Steven M. Greenbaum, P.A., President (2006-2008)**

Represented financial services firms and registered representatives in mediations, arbitrations, regulatory enforcement matters, and court proceedings. Managed internal investigations and audits on behalf of financial services firms. Retained as an expert witness by broker-dealers and the U.S. Securities and Exchange Commission. Hired as a mediator to resolve securities disputes.

- **UBS Financial Services, Inc. (f/k/a PaineWebber Inc.) (1988-2005)**

Senior Vice President/Senior Associate General Counsel (2002-2005)

Supervised twelve senior advisory attorneys nationwide; Chaired internal broker disciplinary and Legal Department curriculum committees and served on compliance policy review committee.

First Vice President/Associate General Counsel (1996-2002)

Served as senior attorney for the Southern Division. Supervised three attorneys and advised management and up to seventy-five branch offices on Form-U4 disclosures, outside activities, and selling away. Managed risk management, internal discipline, and employee disputes. Drafted legal documents and conducted employee training.

Corporate Vice President/Associate General Counsel (1988-1996)

Managed mediations, hearings, and appeals for PaineWebber and employees before courts and arbitration forums.

- **Ruden, McClosky, Smith, Schuster & Russell Associate Attorney (1983-1987)**

Litigated for broker-dealers and other commercial clients and managed collections for broker-dealers. Oversaw a range of commercial, securities, bankruptcy, probate, and employment cases at all court levels.

### **PROFESSIONAL LICENSES, AFFILIATIONS AND HONORS**

Admitted to practice law in Florida

Rated AV Preeminent by Martindale-Hubbell®

Former FINRA and NFA principal and associated person (3, 7, 14, 24, 30, 34, 63 and SIE)

Florida Supreme Court Certified Mediator, Florida Circuit and County Courts (Civil)

Florida Supreme Court Qualified Arbitrator

FINRA Non-Public Arbitrator (Chairperson Qualified)

Florida Securities Dealers & Advisors Association, Inc.

Past President (2014)

Leadership Award (2023)

### **EDUCATION**

Tulane University, JD *cum laude* (1983)

Tulane University, BA in Political Science and Public Policy, *cum laude* (1980)

### **NON-PROFITS**

Ellington Homeowner's Association, Inc., Former President

Thomas E. Greenbaum Charitable Foundation, Inc., President

Alex's Lemonade Stand Foundation, Inc., Member, National Advisory Council