



CAROLINE C. VINCENT, ESQ.

ADR Services, Inc.
1900 Avenue of the Stars, Suite 250
Los Angeles, CA 90067
Office: (310) 201- 0010
Cell: (310) 617.2042
cvincent@adrservices.com
carolinevincent.com



Securities/FINRA

Caroline Vincent has served as a professional mediator, arbitrator, and neutral evaluation since 1994, with significant financial, business legal and dispute resolution experience. Ms. Vincent quickly gets to the heart of the matter to assist parties in settlement valuations and movement.

Ms. Vincent has over 20 years of legal experience specializing in business, real estate and securities transactional matters with multinational firms and in her own practice. She has specifically represented publicly and privately held entities, securities issuers and broker/dealers, and individual investment advisors. Ms. Vincent has conducted due diligence for underwriters, as well as for purchasers and investors, and has drafted and advised on investor suitability standards and questionnaires. Ms. Vincent served twice as a Los Angeles County Superior Court appointed conservator, and litigated two probate matters involving fraud and undue influence.

Ms. Vincent has mediated or arbitrated over 2,500 matters including several hundred matters involving the following securities and/or related investment and/or fiduciary duty issues.

- Numerous claims by customers against investment advisors and brokers concerning insurance products
- Breach of fiduciary duty and negligent advisement
- 3rd party advisor liability, including lawyers and other agents who frequently are involved in advising purchasers
- Investor suitability and standards
- Fraudulent inducement
- Churning
- Misrepresentation
- Post-closing price adjustment
- Conflicts of interest; failure to disclose
- All types of securities/investments (stocks, bonds, options, futures, mutual funds, investment contracts, limited partnership interests, leveraged buyouts, private syndications, public offerings, life insurance and annuities, tax sheltered investments).
- Financial elder abuse
 - Familial and advisor undue influence
 - Legal capacity issues
 - Suitability issues: risky investments