

Rob Harris
Arbitration and Mediation Matters
2021-23

Financial Services

- Investment advisor's alleged improper solicitation of his former firm's clients (three-person arbitration panel)
- Economic rights of senior employee following his departure from a broker-dealer (three-person arbitration panel)
- Claims and counterclaims between investment advisory firm and a client
- Employment and related claims between a principal and the financial services holding company with which he was affiliated
- Claims pertaining to the separation of a senior executive from a private equity firm (chair of three-person arbitration panel)
- Breach of trading company non-competition and non-solicitation provisions
- Claims by founder of insurance platform regarding valuation of ownership interest (chair of three-person panel)
- Recoupment of severance payments to terminated insurance company CEO based on violation of post-employment covenants (three-person panel)
- Financial asset manager's failure to provide equity awards and other compensation to senior level executive
- Dispute between owners of financial asset management company (chair of three-person panel)
- Entitlement of owner of payment processing company to payments following its dissolution
- Accounting between co-owners of financial management company
- Valuation of former executive's participatory interests in family office investments
- Employment claims by insurance company executive terminated following sale of the company
- Payment processor's withholding of client's reserve account funds (three-person arbitration panel)
- Lender's claim for recovery of business financing
- Breach of merchant financing arrangement
- Dispute regarding payments for computer equipment
- Claims and counterclaims regarding obligations under an auto lease
- Claim for improper termination of business accounts by payment processor
- Adequacy of data processing services provided to credit union
- Company's failure to repay sums advanced under a corporate financial

services agreement

- Claim for failure to deliver shares and cash compensation to financial advisory consulting company
- Disputed entitlement to a placement agent's incentive fee for its fundraising services to a private equity company
- Financial technology company's responsibility for error causing loss to investment manager's clients

Professional Practices

- Respective rights and interests of twelve veterinarians to a jointly owned animal hospital (three-person arbitration panel)
- Practice ownership and employment rights of physicians regarding their jointly owned practice
- Valuation and payments for ownership in a medical practice
- Harassment claim brought by employees of a law firm against one of its principals

Real Estate

- Respective financial interests of the co-owners of investment real estate
- Shareholder dispute between hotel owners
- Dispute between senior manager/advisor and shopping center developer
- Claim by former president of real estate company for monies owed following his termination
- Competing claims between property manager and owner/developer of multi-family residential properties
- Disagreement over buyer's entitlement to return of deposit after failing to consummate purchase of residential estate

Franchise, Distribution and Dealer

- Compliance with terms of ice cream franchise agreement
- Termination rights/obligations of national food service franchisor
- Dispute between nationwide food distributor and point-of-sale operator of airport markets
- Class action between petroleum products distribution company and commercial customers
- Dispute between owners/employees of a motorcycle franchise
- Competing claims regarding the economic interests of owners of truck dealerships and related real estate

Construction and Public Amenities

- Dispute between contractor and fire escape subcontractor
- Indemnification dispute between amusement park owner and ride manufacturer pertaining to the cause of injuries suffered by a park visitor
- Delay claim by construction manager on a public project

Manufacturing/Goods

- Emergency claim for injunctive relief by national consumer company against its container manufacturer
- Vendor's claims regarding rights to continued presence on online marketplace
- Damages claimed to have resulted from the faulty installation and/or maintenance of agricultural scales
- Valuation of equity interests of senior management team in a manufacturing company acquired by a private equity firm
- Claims arising out of a joint venture between scientist and operations executive to develop and market Covid tests
- Unfulfilled commitments following the business divorce of former owners of a carpet manufacturing and design company
- Financial interests of long-time senior employee and orthotics company employer
- Claims for breach of contract by a manufacturing company's former CEO, and counterclaims alleging misconduct by the CEO and a company director

Other Services

- Services agreement claim between golf professional and the municipal owner of a public golf course
- Equity and monetary interests of a founder and senior employee terminated by a software development company
- Discrimination claims arising out of the separation of the Executive Director of a non-profit organization
- Dispute regarding the economic interest of a founder of a trade show business
- Claims by former owners of pharmacy against private equity purchaser for unrealized economic benefits (three-person panel)
- Claims arising under a settlement agreement between purchasers and sellers of interests in multiple nursing homes
- Failure to pay for consulting and IT services
- Failure to pay obligations under staffing services agreement

Rob Harris
robert.harris@positivelyneutral.com
www.positivelyneutral.com
914.482.2448