

**UNITED STATES SENATE
COMMITTEE ON THE JUDICIARY**

QUESTIONNAIRE FOR NON-JUDICIAL NOMINEES

PUBLIC

1. **Name:** State full name (include any former names used).

John Arthur Squires

2. **Position:** State the position for which you have been nominated.

Under Secretary of Commerce for Intellectual Property and Director
of the United States Patent and Trademark Office

3. **Address:** List current office address. If city and state of residence differs from your place of employment, please list the city and state where you currently reside.

Current Office Address: 485 Lexington Ave, 14th Floor, New York, NY 10017

Residence: Vero Beach, Florida

4. **Birthplace:** State date and place of birth.

1962, Pompton Plains, New Jersey

5. **Education:** List in reverse chronological order each college, law school, or any other institution of higher education attended and indicate for each the dates of attendance, whether a degree was received, and the date each degree was received.

University of Pittsburgh School of Law, 1989-1992, J.D, magna cum laude
received 1992

Bucknell University, 1980-1984, B.S. Chemistry received 1984

6. **Employment Record:** List in reverse chronological order all governmental agencies, business or professional corporations, companies, firms, or other enterprises, partnerships, institutions or organizations, non-profit or otherwise, with which you have been affiliated as an officer, director, partner, proprietor, or employee since graduation from college, whether or not you received payment for your services. Include the name and address of the employer and job title or description.

2017 – Present

Dilworth Paxson, LLP

99 Park Ave
New York, NY 10016
Partner, Paid Position

2017 – Present,
FinClusive Capital Inc.
860 Bullock Drive
Guilford, Vermont 05301
Corporate Secretary, Board Member
Unpaid

2017 – Present
iQ4 Corporation
300 Tice Blvd
Woodcliff Lake, NJ 07677
Board Member
Unpaid

2013-Present
RANE Network, Inc.
510 5th Ave
New York, NY 10036
Advisor to the Board
Unpaid

2022-Present
John A. Squires
2187 Falls Manor
Vero Beach, FL 32967
Consultant
Paid

2019 - 2023
University of Pennsylvania
Carey Law School
3501 Sansom Street
Adjunct Professor
Paid

2016
Gibson, Dun, Crutcher, LLP
200 Park Avenue
New York, NY 100166
Partner
Paid Position

2016
CyberWorkforce Alliance

300 Tice Boulevard
Woodcliff Lake, NJ
Advisor Unpaid

2012-2016
Perkins Coie, LLP
30 Rockefeller Plaza
New York, NY
Partner
Paid Position

2009-2012 Chadbourne & Parke
Firm No longer extant
Partner
Paid

2000-2008
Goldman, Sachs & Co.
85 Broad Street
New York, NY
Chief Intellectual Property Counsel
Paid

2002 – 2007
Regulatory DataCorp, Inc.
85 Broad Street
New York, NY
Corporate Secretary
Unpaid

2004-2008
Securities Industry and Financial Markets Association
120 Broad
New York, NY 10271
Chair, IP Subcommittee
Unpaid

2003-2007
International Intellectual Property Association
1000 F Street NW
Washington, DC
Board Member
Unpaid

1997-2000
Honeywell, Inc.
101 Columbia Road
Morristown, NJ

Business Unit Chief Intellectual Property Counsel, General Counsel
Paid

1994-1997
Roger & Wells, LLP
Firm no longer extant
Associate Attorney
Paid

1992-1994
Morgan & Finnegan, LLP
Firm no longer extant
Associate Attorney
Paid

1991
Spriggs & Hollingsworth, LLP
1350 I Street NW
Washington, DC 20005
Summer Intern
Paid

1991
Morris, Nichols Arst & Tunnel LLP
1201 N Market Street
Wilmington, DE 19801
Summer Intern
Paid

1990
Katarnic & Salmon
Firm no longer extant
Summer Intern
Paid

1984-1989
IBM Corporation
Schoenersville Road
Bethlehem, PA 18018
Paid

7. **Military Service and Draft Status:** Identify any service in the U.S. Military, including dates of service, branch of service, rank or rate, serial number (if different from social security number) and type of discharge received, and whether you have registered for selective service.

I have not served in the U.S. Military. I registered for the Selective Service on my 18th

birthday in 1980.

8. **Honors and Awards:** List any scholarships, fellowships, honorary degrees, academic or professional honors, honorary society memberships, military awards, and any other special recognition for outstanding service or achievement.

The following are the main honors, and the like that I am currently aware of. It is possible that there were others.

University of Pittsburgh School of Law
Order of the Coif
Law Review
Magna Cum Laude
National Corporate Moot Court Team

National Patent Jury Instruction Committee

IP Star, Managing IP

Burton Award Nominee (Serenity Now! Daily Deal)

Lexology/ILO Global Client Choice Award, New York, Intellectual Property, Patents

Chambers USA, "America's Leading Lawyers" for Intellectual Property: Patents

US NEWS IP "Best Law Firms- IP" (Co-Chair of Practice Group recognized, previously unranked)

FT Most Innovative Lawyers Award 2013 (Patent Analysis Tool in REDI Technologies divestiture)

IAM 300 World's Leading Patent Strategists

IAM TOP 250 World's Leading Patent & Technology Licensing Lawyers

Best Lawyers in America, Litigation - Patent

IP Star, Managing IP

Intellectual Asset Management Magazine, Patent 1000

Bucknell University
University Prize for Men, English
Phi Eta Sigma Honor Fraternity (GPA)
Dean's List

Union Camp Science Award (incoming university scholarship)
Varsity Letter, Bison Football (Division IAA)

9. **Bar Associations:** List all bar associations or legal or judicial-related committees, selection panels or conferences of which you are or have been a member, and give the titles and dates of any offices which you have held in such groups.

New York Intellectual Property Law Association (through law firm)
International Intellectual Property Association, Board Member, 2004-2008
New Jersey Intellectual Property Law Association (through corporate client)

10. **Bar and Court Admission:**

- a. List the date(s) you were admitted to the bar of any state and any lapses in membership. Please explain the reason for any lapse in membership.

State of New York, 1993.

- b. List all courts in which you have been admitted to practice, including dates of admission and any lapses in membership. Please explain the reason for any lapse in membership. Give the same information for administrative bodies that require special admission to practice.

Southern District of New York, 1993.
Eastern District of New York, 1993.
Court of Appeals for the Federal Circuit Court of New York, 2008.
United States Supreme Court, 2009.
United States Patent and Trademark Office, 1993, Registration Number 37, 451.

11. **Memberships:**

- a. List all professional, business, fraternal, scholarly, civic, charitable, or other organizations, other than those listed in response to Questions 9 or 10 to which you belong, or to which you have belonged, since graduation from law school. Provide dates of membership or participation, and indicate any office you held. Include clubs, working groups, advisory or editorial boards, panels, committees, conferences, or publications.

Compliance and Inclusive Finance Working Group, Member 2017-2021

Faculty Member and Lecturer, Cybersecurity Workforce Alliance (in partnership with the New York Federal Reserve Bank, its Member Banks, and CUNY and SUNY systems) 2016-2020

University of Southern California, Member, Parent Engagement Committee,
2017 – 2018

National Patent Jury Instruction Committee at the behest of Chief Judge
Michel of the Court of Appeals for the Federal Circuit, 2010

Securities Industry and Financial Markets Association, Chair IP
Subcommittee 2004-2008

Licensing Executive Society (NJ Chapter (through corporate client) 1997-
2000 (approximate)

International Intellectual Property Institute (IIPI) Member, of Board of
Directors 2003-7

- b. Indicate whether any of these organizations listed in response to 11 (a) above currently discriminate or formerly discriminated on the basis of race, sex, religion or national origin either through formal membership requirements or the practical implementation of membership policies. If so, describe any action you have taken to change these policies and practices.

Not to my knowledge

12. Published Writings and Public Statements:

- a. List the titles, publishers, and dates of books, articles, reports, letters to the editor, editorial pieces, or other published material you have written or edited, including material published only on the Internet. Supply four (4) copies of all published material to the Committee.

I have provided copies of the following publications that I have been able to locate after searching. All are co-authored unless otherwise indicated. Although I have endeavored to identify all of my publications, please note that it is possible there were others that I have not been able to locate.

As to material ‘published’ on the internet, I have taken this to mean outlets like “Medium” and the like. I have provided copies of those where I have located any such publications. I have reposted and commented on occasion on articles and posts of interest in my area of practice on LinkedIn but have not listed these as materials which I have authored. To the extent such LinkedIn posts/comments are of interest to the Committee, I invite the Committee to freely review my account at: <https://www.linkedin.com/in/josquires/>

Order	Title of Work	Link
1	The FinTech Times: Back To The Future: Fulfilling Crypto's Promise Through Compliance	https://thefintechtimes.com/back-to-the-future-fulfilling-cryptos-promise-through-compliance/ and copies provided
2	The Curious Case of Patent Balance Sheet Invisibility, Collier Venture Review - The University of Tel Aviv · Feb 1, 2021	https://www.collierinstituteofventure.org/issues/january-2021 and copies provided
3	Wharton: On Betsy Ross and Bad Language: Navigating the New Marketing Minefield Knowledge@Wharton · Jul 19, 2019	https://knowledge.wharton.upenn.edu/podcast/knowledge-at-wharton-podcast/squires-trademarks-profanity/ and copies provided
4	Wharton: Blockchain, the Bard and Building More Inclusion for Banking, Knowledge@Wharton · Feb 24, 2016	https://knowledge.wharton.upenn.edu/article/blockchain-the-bard-and-building-more-inclusion-for-banking/ and copies provided
5	Wharton: We Don't Need a Crisis to Act Unitedly Against Cyber Threats, Knowledge@Wharton – June 1, 2015	https://knowledge.wharton.upenn.edu/article/we-dont-need-a-crisis-to-act-unitedly-against-cyber-threats/ and copies provided
6	Journal of Law and Cyber Warfare: Cybersecurity: It's the Cyber Crime and its Sponsors (Not My Cyber-Security), Stupid	copies provided
7	Wharton Business Journal, The Ten Commandments of Cyber Security, Knowledge@Wharton; (February 24, 2016)	copies provided
8	Wharton Business Journal, The 'Soft Power' War ISIS Doesn't Want, Knowledge@Wharton; (December 2015)	copies provided
9	Wharton Business Journal, In the Struggle Against Extremism, Social Media Is the Message, Knowledge@Wharton; (January 2015)	copies provided
10	Wharton Business Journal, Trust But Verify: How Security Loopholes Can Undermine Online Compliance Training, Knowledge@Wharton; (July 2014)	copies provided
11	The United Tweets of America: Building a Social Network for 'The Last Best Hope of Earth', Knowledge@Wharton (September 3, 2011)	copies provided
12	Serenity Now!, The Deal magazine (June 22, 2010)(sole author - Burton award nominated)	copies provided
13	Patent Law Overhaul, A Step Backwards, LA Daily Journal (April 14, 2010) (editorial)	copies provided

14	Bringing Patent Law Overall Back to the Future: Three Key Considerations to Avoid Downgrading Our Nation's Patent Laws, LexisNexis Emerging Issues Analysis (April 2010, sole author)	copies provided
15	Awaiting 'Bilski' With Bated Breath, The Recorder (March 19, 2010) Awaiting and Anticipating Bilski, LexisNexis Emerging Issues Analysis (March 2010)	copies provided
16	Patents as Hedge: Wall Street's Emerging Monetization Model in From Assets to Profits, Competing For IP Value and Return (Wiley 2008, Bruce Berman, Editor)(sole author of book chapter)	copies provided
17	Patent Law 101, Does A Grudging Lundgren Panel Decision Mean that the USPTO is Finally Getting the Statutory Subject Matter Question Right? 46 IDEA 561 (2006)	copies provided
18	Opportunity Lost. Opportunity Gained., Chief Legal Executive, Vol. 2. No. 3 (Fall 2003)	Unable to locate copy
19	What You Don't Know About Pennsylvania Rule 11 Might Surprise You, 138 Pitt L.J. 21 (1990) (sole author) copy unavailable	Unable to locate copy

- b. Supply four (4) copies of any reports, memoranda or policy statements you prepared or contributed in the preparation of on behalf of any bar association, committee, conference, or organization of which you were or are a member. If you do not have a copy of a report, memorandum or policy statement, give the name and address of the organization that issued it, the date of the document, and a summary of its subject matter.
1. Patent Damages Handbook for the National Patent Jury Instruction Committee (working group co-author) at the behest of Chief Judge Michel of the Federal Circuit Court of Appeals.
 2. Compliance and Inclusive Finance Working Group – Creative Commons global best practices manual for meeting global compliance standards with Distributed Ledger and Blockchain Technologies: The Rulebook. (Co-author and Creative Commons architect)
 3. Contributed to FinClusive Capital Inc.'s Statement for the Record Provided to the U.S. House Committee On Financial Services Oversight of the Financial Crimes Enforcement Network (FinCEN) and the Office of Terrorism and Financial Intelligence (TFI), Thursday, April 27, 2023 regarding modernizing compliance solutions to include blockchain-based technologies.
- c. Supply four (4) copies of any testimony, official statements or other communications relating, in whole or in part, to matters of public policy or legal interpretation, that you have issued or provided or that others presented on your behalf to public bodies or public officials.
1. Federal Trade Commission Panel, The Evolving IP Marketplace, "Can

Quanta Finish What *eBay* Started?" Washington, D.C., December 5, 2008
(<http://www.ftc.gov/bc/workshops/ipmarketplace>)

2. The Senate Committee on the Judiciary, Patent Reform: The Future of Innovation. Oral and Written Testimony, Washington D.C., June 6, 2007
(<http://www.sifma.org/legislative/testimony/pdf/jsquires6-6-07.pdf>)
 3. Senate Finance Subcommittee on Tax Policy. Described in BNA "Solution for Tax Patent Distemper Should be Transparency" (Made "utility"-based proposal and proffered draft legislative language to eliminate procurement and enforcement of 'tax' patents to the United States)
(<http://pubs.bna.com/ip/bna/ptd.nsf/pda/AOB5F7 A 1 Z9>)
 4. Co-authored and submitted 2004 Patent Office Quality Pilot with on behalf of the Securities Industry Association IP Subcommittee team to provide pre-examination action interviews. (copy unavailable)
- d. Supply four (4) copies, transcripts or recordings of all speeches or talks delivered by you, including commencement speeches, remarks, lectures, panel discussions, conferences, political speeches, and question-and-answer sessions. Include the date and place where they were delivered, and readily available press reports about the speech or talk. If you do not have a copy of the speech or a transcript or recording of your remarks, give the name and address of the group before whom the speech was given, the date of the speech, and a summary of its subject matter. If you did not speak from a prepared text, furnish a copy of any outline or notes from which you spoke.

The following are speeches or talks I have a record of delivering. To the extent available (many were not), I have provided materials related to such. Please note that some of the presentations include slides from other panelists on the dais. Although I have endeavored to identify all of my speeches, please note that it is possible there were others that I have not been able to locate.

1. Transaction Alley Cyber Forum – Data Breaches and Remediation (February 2020) (report on conference)
2. PBI Business Law Institute, 2019: FinTech Regtech Panel (no materials)
3. Featured panelist: In Search of Skeletons: Escalated Challenges Around Data Privacy and Security (Tomson Reuters Privacy Conference, Atlanta Georgia (Oct. 2019) (no materials)
4. Miami University Blockchain Panel: Circa 1790, The US Patent System
5. RANE Recap – Decrypting Crypto (2019)
6. Advisor, Annual Panel Judge, Wharton School of the University of Pennsylvania, Knowledge@Wharton High School Investment Competition (2018)
7. Guest Lecturer, UC Hastings School of Law; Blockchain Law (And What If There Was Any....), January 2018.

8. Smart Contracts: Introducing Smart Contracts and Strategies for Traversing the Nascent Emerging Legal and Regulatory Issues, April 2018
9. 14th Annual Southeastern M&A/Private Equity Forum, October 4, Atlanta (Cybersecurity Panel) (no materials)
10. Guest Lecturer, SUNY (Albany): It's the Cybercrime and Its Sponsors (Not My Cybersecurity), Stupid, November 2017.
11. Cyber Workforce Authority, Fostering Collaborative Responses: John Jay (2017)
12. Corporate Counsel Magazine, Legal Analytics and Corporate Law Today: A Roundtable Discussion General Publications (November 2014)
13. RANE Webinar – Blockchain ICOs (2014)
14. Disclosure and Financial Patents: Revealing the Invisible Hand; Presented at Federal Reserve Bank of Philadelphia, Bank of Finland, CEPR, Intellectual Property in Financial Services Conference (October 2008)
15. 2011 Congress on Patent Strategies: Financial Services Industry, "The USPTO and the Future of Patent Form and Remedies (...or, the Future is Now) (September 20, 2011)
16. IPBC 2010, IP Business Congress - The Annual Event for Global IP Leaders – Panelist (June 2011)
17. Licensing Executives Society, "Win Without Fighting: Proactive and Collaborative Litigation Defense" (October, 2010)
18. IPBC 2010, IP Business Congress- The Annual Event for Global IP Leaders - Panelist on "Software and Business Methods Patents" (June 2010)
19. Licensing Executives Society, "Enforcement Panel: War and Peace - Strategists' Perspectives on the Art of War and Making Peace" (May 2010)
20. IPBC 2009, IP Business Congress - The Annual Event for Global IP Leaders – Panelist (June 2009)
21. Patents and Entrepreneurship in Business and Information Technologies "Business Method and Software Patents: Policymakers' Perspective", George Washington University Law School (June 2009)
22. IP Counsel Café event in Palo Alto, California (April 1-2, 2009)
23. ipCG Thought Leadership Conference "Developing and Using IP in an Industry that is New (Still) to IP" (November 2008)
24. IQPC's Patent Strategies, "What May Be Patented In Light of Bilski?" (October 2008)
25. Keynote, WRG's 5th Annual Patents in the Financial Services Sector Conference
26. "The Good, The Bad and The Ugly – 2008 in Patents" NYIPLA (July 2008)
27. AIPLA 2008 Spring Meeting, "Consenting to Review of One's Patent Applications" (May 2008)
28. Patent Law Symposium at University of George School of Law re J. Bessen and M. Meurer's book "Patent Failure: How Judges, Bureaucrats, and Lawyers Put Innovators at Risk" (March, 2008)
29. Peer-to-Patent: Mr. Director (Please) Tear Down this Wall, AIPLA Spring 2008 Conference
30. ALI-ABA/New York City Bar Live Video Webcast Seminar, "Financial

Services Patents: What a Financial Services Lawyer Needs to Know Now" (September 2007)

31. IPO Annual Meeting, New York, NY - Plenary Session, Flagging Patent Damages (Summer 2007)
 32. Keynote, CIP 2007, Leveraging Services through IP Management, Goteborg, SE (May 2007)
 33. Council on Foreign Relations, Roundtable on Technology, Innovation and American Primacy: The Patent (March 2007)
 34. CII-IPR Summit, Mumbai and Goa, India (January 2007)
 35. Corporate Patent Congress 2007, Master Class on Maximizing and Manipulating Your Patent Portfolio in the Midst of Patent Reform (January 2007)
 36. IPR in the Financial Services Industry, London (October 2006, 2005)
 37. American Securitization Forum 2005. "Securitization Patents and Intellectual Property Issues" (2005)
 38. Patents and Diversity in Innovation, University of Michigan Law School (September 2006)
 39. WRG, Patents in the Financial Services Industry, Annual Conferences (2003-2007)
 40. WRG, Generating Revenue from your Patents: A Licensing Success Story (July 2004)
 41. Licensing Executives Society, Spring Regional Conference, "What Hath State Street Wrought," Plenary Session (May 2004)
 42. Rushilkon, Swiss Re Centre for Global Dialogue, "Protecting Financial Genius and Encouraging Innovation" (June 2003)
 43. Federal Reserve Bank of Atlanta Conference, "A Random Walk Down State Street" (April 2003)
 44. ACCI "Building Corporate Value Through Intellectual Property" (December 2001)
 45. Fannie Mae Annual Legal Conference, "The Patent Bargain" (May 2001)
 46. AUTM, "Patenting in the Financial Services Sector" (March 2001)
 47. USPTO Annual Technology Fairs (2000 – 2003)
- e. List all interviews you have given to newspapers, magazines or other publications, or radio or television stations, providing the dates of these interviews and four (4) copies of the clips or transcripts of these interviews where they are available to you. Below are interviews, including press releases where I am quoted. I have included materials to the extent I have them or have access to them. Please note that it is possible there were other interviews or statements to the press.
1. FinClusive Announces its Compliance-Enabled Credentialing Environment (CECE) for its Gateway Services (quoted), Medium, February 23, 2023
 2. Ozy Media Retains Former Goldman Chief IP Counsel to Advise on Transformative Web 3.0 Technologies, PRNewire July 14, 2022 (quoted)
 3. Sirius XM Podcast of Knowledge@Wharton, Trademarking Offensive Terms: Can Social Good Come from Bad Words? Recording:

<https://knowledge.wharton.upenn.edu/podcast/knowledge-at-wharton-podcast/squires-trademarks-profanity/>

4. Defending Trade Secrets Act: RANE Interview, April 2016
5. Gibson Dunn Adds IP Transactions Partner Squires (2016)
6. Futures Industry Magazine Outlook 2008, Interview on IP Issues (November 2007)
7. Bucknell Magazine: New Turf for Two Teammates (Fall 2008)
8. Peer to Patent – Goldman Opens Submission (2008)
9. Featured in IP Law and Business, Mr. Squires Goes to Washington (Summer 2007)
10. Web Article: Profile, “In-House Perspectives – John A. Squires”
(http://www.chieflegalexecutive.com/sub_pages/perspectives/ip_index.asp)
(2003)

- f. If applicable, list all published judicial opinions that you have written, including concurrences and dissents. Supply the citations for all published judicial opinions to the Committee.

I have not served as a judge.

13. Public Office, Political Activities and Affiliations:

- a. List chronologically any public offices you have held, other than judicial offices, including the terms of service and whether such positions were elected or appointed. If appointed, please include the name of the individual who appointed you. Also, state chronologically any unsuccessful candidacies you have had for elective office or unsuccessful nominations for appointed office.

I have not held any public office.

- b. List all memberships and offices held in and services rendered, whether compensated or not, to any political party or election committee. If you have ever held a position or played a role in a political campaign, identify the particulars of the campaign, including the candidate, dates of the campaign, your title and responsibilities.

I have not rendered any such services.

14. Legal Career: Answer each part separately.

- a. Describe chronologically your law practice and legal experience after graduation from law school including:
- i. whether you served as clerk to a judge, and if so, the name of the judge, the court and the dates of the period you were a clerk;

I have not been a clerk to a judge.

- ii. whether you practiced alone, and if so, the addresses and dates;

I have not practiced alone.

- iii. the dates, names and addresses of law firms or offices, companies or governmental agencies with which you have been affiliated, and the nature of your affiliation with each.

Dilworth Paxson, LLP, 99 Park Avenue, New York, NY

Partner, Firmwide Chair of IP, Emerging Companies (2017-present)

Chair and managing partner for emerging company practice focused on legal, regulatory and global compliance issues directed to emerging technologies, including AI, blockchain and crypto, Fintech and Regtech payments and cybersecurity data privacy and security and risk management as well as contracts, terms of service, federal and state licensing and exemptions.

University of Pennsylvania Carey School of Law,

Philadelphia, PA, Adjunct Professor, LLM International Students Program (June 2019-2023)

Professor of Legal Writing for advanced degree, International LLM Degree candidates,

Gibson, Dunn & Crutcher, LLP, 200 Park Avenue, New York, NY

Partner, IP Transactional Group, New York Office (2016) practice focused on acquisitions, licensing and portfolio company issues for Equity and Debt fund clients, including impact investment vehicles.

Perkins Coie, LLP, 30 Rockefeller Plaza, New York, NY

IP Partner, Co-Chair IP Value Industry Group, IP Lead - Virtual Currency & Blockchain Industry Group, New York Office (2012-2016)

Established firm's first New IP platform representing predominantly Fintech clients and in all aspects of IP matters including transactional, licensing, litigation, due diligence, patent asset creation and structuring.

Chadbourne & Parke, LLP (firm no longer extant), 30 Rockefeller Plaza, New York, NY

Co-Chair, Intellectual Property Group, Partner (2009-February 2012)

Practice Group Co-Chair, represented clients in all aspects of intellectual property and patent matters, including 'clean-tech' for a client base comprising predominantly Silicon Valley technology and U.S. money-center leading financial firms.

Goldman, Sachs & Co., 85 Broad Street, New York, NY

Chief Intellectual Property Counsel (2000-2008)

Responsible for the firm's global intellectual property practice and brand, including patents, trademarks and copyrights, licensing transactions, investment due diligence on capital commitments, including advising on internal technology, systems and firm-wide risk management operations. A career milestone was the formation and launch of Regulatory DataCorp, a global consortia formed on the basis anti-terrorist financing and anti-money laundering patented technologies in the wake of the 9-11 attacks.

Honeywell, Inc. (formerly AlliedSignal, Inc.), 101 Columbia Road, Morristown, NJ (1997-2000) general business unit and intellectual property advise and licensing for in-house business units across various technologies including heads-up displays, amorphous metals, waveguide materials, carbon materials, fibers and new ventures.

Rogers & Wells, LLP., 200 Park Avenue, New York, NY (firm no longer in existence) (1994-1997) Associate attorney in group practice representing chemical, bio-tech, pharmaceutical, technology and manufacturing clients in all aspects of intellectual property matters, predominantly in litigation and dispute resolution.

Morgan & Finnegan, LLP., 345 Park Avenue, New York, NY

Associate (1992-1994) Associate attorney on large-scale patent infringement litigation, interferences in chemical, materials and technology matters. Prepared and filed patent applications, office actions and international oppositions.

- iv. Whether you served as a mediator or arbitrator in alternative dispute resolution proceedings and, if so, a description of the 10 most significant matters with which you were involved in that capacity.

I have not served as a mediator or arbitrator.

- v. Whether you have held any judicial office, including positions as an administrative law judge, on any U.S. federal, state, tribal, or local court and if so, please provide the name of the court, the jurisdiction of that court, whether the position was appointed or elected, and the dates of your service.

I have not served or held any judicial office.

b. Describe:

- i. the general character of your law practice and indicate by date when its character has changed over the years.

- ii. Your typical clients and the areas at each period of your legal career, if any, in which you have specialized.

The general character of my law practice has followed the general arc of intellectual property practice in the U.S. I started in 1992 at a specialized patent boutique focusing on both patent prosecution and supporting litigation efforts, moved to IP groups within General Practice firms with a concentration on infringement litigation (both plaintiff and defendant). Beginning in 2007, I then spent over a decade as in house counsel and ultimate chief intellectual property counsel. In 2009, my practice shifted to large firm and generally large client legal practice focused on general intellectual property matters as a practice chair and partner. Beginning in 2017, I have focused my practice on emerging companies and start-ups providing the full range of services, including investor preparation and in-take.

- c. Describe the percentage of your practice that has been in litigation and whether you appeared in court frequently, occasionally, or not at all. If the frequency of your appearances in court varied, describe such variance, providing dates.

A minor amount of my practice has been in litigation, 5 to 10%. I almost never appear in court.

- i. Indicate the percentage of your practice in:

- 1. federal courts: 5%
- 2. state courts of record: 1%
- 3. other courts:
- 4. administrative agencies: 1% appearance at the PTAB

- ii. Indicate the percentage of your practice in:

- 1. civil proceedings of appearances, 100%
- 2. criminal proceedings: 0%

- d. State the number of cases in courts of record, including cases before administrative law judges, you tried to verdict, judgment or final decision (rather than settled), indicating whether you were sole counsel, chief counsel, or associate counsel.

One case tried to verdict as a second-year associate within a larger law firm team (Morgan & Finnegan).

- i. What percentage of these trials were:

- 1. jury: 100%
- 2. non-jury: 0%

- e. Describe your practice, if any, before the Supreme Court of the United States. Supply four (4) copies of any briefs, amicus or otherwise, and, if applicable, any oral argument transcripts before the Supreme Court in connection with your practice.

I co-authored an amicus brief to the United States Court in *Bilski v. Kappos*. I have not participated in oral arguments before the Court.

15. **Litigation:** Describe the ten (10) most significant litigated matters which you personally handled, whether or not you were the attorney of record. Give the citations, if the cases were reported, and the docket number and date if unreported. Give a capsule summary of the substance of each case. Identify the party or parties whom you represented; describe in detail the nature of your participation in the litigation and the final disposition of the case. Also state as to each case:

- a. the date of representation;
- b. the name of the court and the name of the judge or judges before whom the case was litigated; and
- c. the individual name, addresses, and telephone numbers of co-counsel and of principal counsel for each of the other parties.

Other than the matter discussed above in question 14d, where I played a limited role as a part of a larger litigation team, I have not handled matters which may be fairly described as being either ‘personally handled’ or ‘litigations.’ The nature of my practice has been managing litigation counsel on behalf of clients in the nature of ‘outside general counsel’, not ‘personally handling’ such matters. I have appeared as inter-partes counsel on behalf of an inventor-client in front of the Patent Trials and Appeals Board (PTAB) successfully opposing whether a derivation proceeding the clients allowed patent claims. PTAB practice is generally limited to attorneys or agents having Registration Numbers to practice before the USPTO, which I do. Such proceedings, while *inter partes*, are neither subject to the Federal Rules of Civil Procedure nor Federal Rules of Evidence and are not generally considered to be litigation proceedings in the same manner as issued patents litigated in Federal District Court which possess exclusive jurisdiction of issued patents.

16. **Legal Activities:** Describe the most significant legal activities you have pursued including significant litigation which did not progress to trial or legal matters that did not involve litigation. Describe fully the nature of your participation in these activities. List any client(s) or organization(s) for whom you performed lobbying activities and describe the lobbying activities you performed on behalf of such client(s) or organizations(s). (Note: As to any facts requested in this question, please omit any information protected by the attorney-client privilege.)

I have throughout my career been a longstanding client advisor on successful strategies to increase domestic and international competitiveness through effective IP asset procurement, deployment and licensing. I have represented both plaintiffs and defendants as well as longstanding companies, individual inventors, start-ups, non-for-profits and academia in IP matters spanning all walks of the technological arts to meet the on-rush of technology. The bulk of my practice since 2017 can best be described as ‘outside general counsel’ focused particularly on emerging and applied technology patent eligibility, including crypto/blockchain/web3/technologies, digital assets, payment systems and global banking compliance, cyber security and risks, responsible AI, energy efficiency innovation and scientific technology verification and credentialing.

I have not performed any lobbying activities

17. **Teaching:** What courses have you taught? For each course, state the title, the institution at which you taught the course, the years in which you taught the course, and describe briefly the subject matter of the course and the major topics taught. If you have a syllabus of each course, provide four (4) copies to the committee.

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Cyber Workforce Alliance through the CUNY and SUNY systems, in connection with the Federal Reserve Bank of New York. I teach an installment for a semester long course entitled “The Threat from Within’ based upon the Epic Challenge framework provided concerning identifying areas of risk for cyber intrusion and remediation.

18. **Deferred Income/ Future Benefits:** List the sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock, options, uncompleted contracts and other future benefits which you expect to derive from previous business relationships, professional services, firm memberships, former employers, clients or customers. Describe the arrangements you have made to be compensated in the future for any financial or business interest.

If I am confirmed, I will withdraw from the partnership of Dilworth Paxson LLP and any other arrangement pursuant to my Ethics Agreement and OGE 278e disclosures. Please see OGE Form 278e, as well as my extant Ethics Agreement, for further details on relevant commitments.

19. **Outside Commitments During Service:** Do you have any plans, commitments, or agreements to pursue outside employment, with or without compensation, during your service? If so, explain.

None.

20. **Sources of Income:** List sources and amounts of all income received during the calendar year preceding your nomination and for the current calendar year, including all salaries, fees, dividends, interest, gifts, rents, royalties, licensing fees, honoraria, and other items exceeding \$500 or more (if you prefer to do so, copies of the financial disclosure report, required by the Ethics in Government Act of 1978, may be substituted here).

Please see OGE Form 278e.

21. **Statement of Net Worth:** Please complete the attached financial net worth statement in detail (add schedules as called for).

Please see form and schedules below. Note that the value of the assets listed is as of the date of either the last statement or the date of inquiry while preparing this form. While some dates vary, are believe to be within the last 30 to 60 days.

22. **Potential Conflicts of Interest:**

- a. Identify the family members or other persons, parties, affiliations, pending and categories of litigation, financial arrangements or other factors that are likely to present potential conflicts-of-interest when you first assume the position to which you have been nominated. Explain how you would address any such conflict if it were to arise.

I have no family members implicated, and as to any other persons, parties, affiliations and the like, please see below.

- b. Explain how you will resolve any potential conflict of interest, including the procedure you will follow in determining these areas of concern.

In the event of an actual, potential or the appearance of a conflict of interest, I will consult with the appropriate Office of Government Ethics official or Commerce Department ethics officials and act consistent with governing rules, regulations and my Ethics agreement which I anticipate being executed before assuming office, should I be confirmed.

23. **Pro Bono Work:** An ethical consideration under Canon 2 of the American Bar Association's Code of Professional Responsibility calls for "every lawyer, regardless of professional prominence or professional work load, to find some time to participate in serving the disadvantaged." Describe what you have done to fulfill these responsibilities, listing specific instances and the amount of time devoted to each. If you are not an attorney, please use this opportunity to report significant charitable and volunteer work you may have done.

As a specialized legal practitioner in intellectual property, I have devoted the bulk of my pro bono work to fostering IP protection and educational pursuits for not-for-profit clients furthering their specific missions. My longstanding pro-bono client has been the Matthew Larson Foundation for Pediatric Brain cancer in honor of my daughter's and family friend, Matthew, who was taken away from us at age 7. For his foundation and throughout the years, I have dedicated hours and performed project based work whenever required to bring to fruition and further their growing brand and trademarks, including "Forever 7" that transcends their events and cause. Additionally, I've helped create and pioneer 501c3 foundations to engage in "NFTs for Good", creating non-fungible tokens based on emerging artist's works to be auctioned and transacted in pursuit of fund-raising efforts. I additionally dedicate teaching hours via the Cyber Workforce Alliance organization to coursework administered for aspiring student's need for training and skills certification to close the workforce gap in technology and cyber security.

In addition to legal intellectual property services, I support the National Marfan Foundation's efforts. I have also dedicated time to charitable and volunteer work for church events and services, and significant donations dedicated to music performance for services (a family passion) for our parish, the Church of the Most Blessed Sacrament ('MBS') in Franklin Lakes, NJ which was destroyed by an arsonist during Christmas of 2019. MBS has rebuilt and now reopened in 2024. We now support and enjoy our new parish, St. Helen's in Vero Beach, Florida.