

## **James D. Gaughan**

### **Resume**

#### **Contact Information:**

GaughanADR  
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I have enjoyed a business and corporate law practice since 1981, in private practice and as in-house counsel and an executive officer of diversified, publicly-held holding companies with world-wide operations.

I now provide Mediation and Arbitration Services to companies and individuals seeking to resolve disputes arising from their business or interpersonal relationships. I have mediated cases involving business, insurance, contract, and other actively litigated disputes.

### **In-House Counsel**

18+ years as in-house counsel and an executive officer at Tenneco Inc. in Houston, TX and Greenwich, CT; and approximately 4 years as an executive officer at MetLife, Inc. in New York, NY, in the following areas:

- Corporate Governance of publicly-held holding companies and their domestic and foreign subsidiaries
- SEC Registration, Compliance and Reporting
- Board of Directors Support and Maintenance
- Proxy Solicitation
- Shareholder Meeting Management
- Mergers and Acquisitions
- Dispositions
- Equity and Debt Offerings - Registered and Private
- Stock Exchange Listings
- Complex Corporate Reorganizations
- Litigation Support

### **Private Practice**

15+ years' experience in the following areas of business and corporate practice:

- Corporate Governance
- Third-Party Neutral (Inspector of Election) services in support of more than 200 public company shareholder meetings
- Corporate Restructuring Transactions
- Complex Corporate and Business-related Litigation Support
- Business (incorporations, acquisitions, dispositions, contract negotiations and reorganizations)

## **LAW LICENSE**

State of Texas

## **EDUCATION**

### *Professional Certifications*

Mediation Certification, South Texas College of Law Houston, Houston, TX

Arbitration Certification, University of Houston Law Center's

A. A. White Dispute Resolution Center, Houston, TX

### *Law School*

Doctor of Jurisprudence, South Texas College of Law Houston, Houston, TX

### *Honors/Awards*

Praetor - Order of the *Lytæ* (President - Scholastic Honor Society)

Law Journal, Assistant Comments Editor

### *Undergraduate*

Bachelor of Arts Degree (History), University of Houston, Houston, TX

## **PROFESSIONAL AFFILIATIONS**

### **Texas Bar Association**

*ADR Section*

*Insurance Law Section*

### **Texas Bar College**

### **Texas Bar Pro Bono College**

### **Houston Bar Association**

*ADR Section*

*Commercial and Consumer Law Section*

*Corporate Counsel Section*

*Litigation Section*

*Mergers and Acquisitions Section*

*Securities Litigation and Arbitration Section*

**Texas Mediator Credentialing Association - Credentialed Advanced Mediator**

**Texas Association of Mediators**

**FINRA Dispute Resolution Arbitrator**

**Society for Corporate Governance**