BIOGRAPHICAL INFORMATION (PUBLIC)
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d) **Description:**

In May of 1991, I was retained by the principal shareholders of Taroco Capital Corporation ("TCC"), a small business investment corporation licensed by the Small Business Administration ("SBA") as a minority business enterprise. Although it was headquartered in New Jersey, TCC had been capitalized by the Asian community to finance economic development projects on a national basis for the Asian community. TCC had been placed in liquidation status by the SBA on the basis of certain financial regulatory violations. On February 19, 1991, the United States District Court for the District of New Jersey had granted the SBA's petition to be appointed as the Receiver for TCC.

The regulatory violations which were alleged by the SBA were questions relating to the portfolio investments which had been undertaken by TCC within the Asian community in various parts of the country. For many of these investments, TCC had invested for its own account and had also solicited the participation of several other SBA licensed lenders. When TCC was placed in receivership, it caused the SBA to initiate a review of all the TCC investment portfolios and also those of the participating lenders. Two other participating lenders retained me to represent them in the same proceedings: the Japanese American Capital Corporation ("JACC"), a small business investment corporation located in Jersey City, New Jersey, and the Southern Orient Capital Corporation ("SOCC"), a small business investment corporation located in Houston, Texas. Like TCC, both companies had been transferred to liquidation status by the SBA. The corporations retained me to negotiate with the SBA regarding allegations of regulatory non-compliance.