



## Holly Stein Sollod

Partner

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**Holly Stein Sollod concentrates her nationwide arbitration and trial practice in complex commercial disputes.**

### PRACTICES

Business Litigation  
Government Investigations and White Collar Defense  
Stakeholder Disputes  
Securities and Capital Markets  
International Services

### EDUCATION

New York University School of Law, J.D.  
Cornell University, B.A.

### BAR ADMISSIONS

Colorado  
New York

### COURT ADMISSIONS

U.S. Court of Appeals, Ninth Circuit  
U.S. Court of Appeals, Tenth Circuit  
USDC Southern District of New York  
USDC District of Colorado  
U.S. Supreme Court

Holly brings more than 40 years of experience in both New York and Colorado to her practice representing clients in high-stakes complex commercial litigation and arbitrations. Her current practice focuses on alternative dispute resolution as an arbitrator in large complex domestic and international commercial business disputes.

Holly is a Fellow in the College of Commercial Arbitrators, and has been selected as a member of the National Academy of Distinguished Neutrals. She serves as an arbitrator for the American Arbitration Association, the International Centre for Dispute Resolution, and FINRA. As the former Director of Arbitration at the American Stock Exchange, Inc., she brings practical knowledge and experience to her arbitration practice.

### EXPERIENCE

#### Arbitration Practice

Holly has more than 35 years experience serving on the AAA's Large Complex Commercial Panel, Securities Panel and M&A Panel. Holly is also a member of the International Center for Dispute Resolution Arbitration Panel. She has handled hundreds of arbitrations as chair, sole arbitrator and as wing in a wide variety of industries and subject matters. Holly is experienced handling dispositive motions, discovery disputes, expedited and emergency remedies, reasoned awards and findings of fact and conclusions of law.

As an arbitrator, Holly's cases have included all aspects of business disputes, including breach of contract, lender liability, franchise agreements, vacation rentals, insurance coverage, fraud, negligence, indemnification of directors and officers, professional liability, consumer fraud, receiverships, Ponzi schemes, cryptocurrencies, and regulated sectors, such as financial services, banking and healthcare. She has presided over employment cases involving termination of employment, breach of confidentiality and non-compete agreements, trade secrets, injunctions, executive compensation, and earn-out agreements.

#### Business Litigation

Holly's national trial practice has focused on complex commercial litigation, in state and federal courts, including class actions. She is well-versed in claims alleging breach of fiduciary duty, corporate governance, breach of contract, fraud, RICO, violation of the Telephone Consumer Protection Act,

violation of the Truth In Lending Act, insurance, consumer protection, business divorce, partnership and limited liability company disputes, licensing, international franchise agreements, cannabis operations, biotech, covenants not to compete, employment, lender liability, Fair Credit Reporting Act, cybersecurity, earn-out agreements, merger & acquisition disputes, and ERISA fee litigation.

### **Stakeholder Disputes/Securities and Capital Markets Litigation**

Holly learned the business of the securities industry first hand as a lawyer at the American Stock Exchange, Inc. in New York. After returning to private practice in Colorado, her clients included public companies and their directors and officers facing securities claims from both private investors and the government. She has handled securities cases for most of her career earning the respect of both judges and adversaries, whether in the courtroom or an arbitration setting. Financial services firms hire Holly to represent them in arbitrations around the country, confident in her knowledge of the complex industry issues present in such cases.

### **White Collar and SEC Enforcement**

For decades, Holly has advised companies and individuals with respect to government investigations before the SEC, PCAOB, FINRA, and state officials involving allegations of securities, wire, and mail fraud, insider trading, accounting and auditing issues, Ponzi schemes, investment advisor concerns, misappropriation, and other alleged violations. Holly often represents independent financial advisers, accountants, executives, employees and companies facing regulatory investigations and enforcement actions.

### **International Services**

As a trial lawyer, Holly has acted as counsel to US-based corporations in international disputes including enforceability of foreign judgments, controversies over non-payment of VAT tax and disputes with foreign companies involving termination of software agreements. Holly has also acted as co-counsel with foreign law firms in arbitrations involving termination of franchise agreements, and breach of technology contracts.

## **CLIENT RESULTS**

### **Arbitrator Practice**

For more than 35 years, Holly has handled arbitrations as chair, sole arbitrator and as wing in cases covering a wide variety of industries. Holly has served as Chair of panels dealing with complex commercial business disputes, securities, and corporate governance. Below are just a few examples:

- Sole arbitrator in multi-million dollar AAA arbitration brought by limited liability company members to determine rightful ownership of LLC interests in resort. Claims involved fraudulent inducement, breach of fiduciary duty, breach of operating agreement, expulsion and dissociation under the Wyoming LLC Act.

- Wing arbitrator in AAA arbitration involving financing of the design and development of cultivation and processing facility for medical cannabis. Claims involved breach of contract, breach of implied covenant of good faith and fair dealing, and appointment of a receiver. Counterclaims were brought for breach of contract and fraudulent inducement.
- Chair of AAA arbitration panel in case alleging more than \$15 million dollars in alleged overcharges for shareholder services provided to mutual funds brought by principal underwriter and distributor. Claims involved breach of contract, breach of implied covenant of good faith and fair dealing, unjust enrichment, violation of Mass. Unfair Business Practices Act, fraudulent concealment, conversion and negligent misrepresentation.
- Sole arbitrator in numerous AAA disputes brought by customers against their investment advisors and disputes between investment advisors and custodians.
- Sole arbitrator in AAA arbitration involving claims for breach of advisor-manager agreement alleging failure to pay management fees and breach of noncompete and confidentiality provisions.
- Sole arbitrator in AAA arbitration involving \$1.28 million dollar dispute brought by investors in conservation easements sold as tax shelters under California law.

## **PUBLICATIONS**

"From the Courtroom to the Zoom Room," *Holland & Hart News Update*, 05/01/2020

"10th Circuit Affirms FINRA Arbitration Award—Adopts Face-of-the-Award Rule ," *Holland & Hart News Update*, 04/15/2020

"The Benefits Dial," *Contributing Author*

## **RECOGNITION**

- *The Best Lawyers in America*® Commercial Litigation, Securities/Capital Markets Law, 2013-2024
- *The Best Lawyers in America*® International Arbitration - Commercial, 2023
- Colorado Super Lawyers®, "Top 50 Women Lawyers," 2013, 2014, 2020, 2022
- Colorado Super Lawyers®, Securities Litigation, 2011-2023
- Martindale-Hubbell®, AV Preeminent® Rating - Judicial Edition

## **PROFESSIONAL AND CIVIC AFFILIATIONS**

- College of Commercial Arbitrators, Fellow
- National Academy of Distinguished Neutrals, Member
- American Arbitration Association, National Securities and M&A Panel Member

- American Arbitration Association, Complex Commercial Arbitration Panel Member
- International Centre for Dispute Resolution Panel Member
- FINRA Arbitration Panel Member
- American Bar Association, Dispute Resolution Section, Women in Dispute Resolution
- USDC Colorado Faculty of Federal Advocates, Member