

**CURRICULUM VITAE  
OF  
BARBARA A. HALPER**

- EDUCATION**            Juris Doctorate, Graduated Cum Laude, June 1989  
Law Review Staff  
WILLIAM MITCHELL COLLEGE OF LAW - St. Paul, MN
- Masters of Business Administration: December 1985  
Thesis: Corporate Litigation Management  
UNIVERSITY OF ST. THOMAS - St. Paul, MN
- PROFESSIONAL  
LICENSES**                Current: Licensed to practice law in Minnesota  
Former: Minnesota Real Estate Sales License,  
FINRA Licenses: 22, 63 and 39  
Long Term Health Care Facility Administrator
- APPOINTMENTS**      Current: Waconia Commission on Aging,  
Former: Minnesota State Racing Commission,  
Minnesota State City Consolidation Commission,  
Minnesota State Nursing Home Task Force
- BOARD  
MEMBERSHIPS**        Board of Director, Vice-Chair, American Women's  
Financial Foundation 2014-2016  
Board of Director, Alternative and Direct Investment Securities  
Association (ADISA) 2014 – 2016, Recipient of Distinguished Service  
Award 2016  
Board of Director, REINS, therapeutic riding center in California (2006 -  
2014)
- MEMBERSHIPS**        MENSA  
American Quarter Horse Association  
Minnesota Amateur Quarter Horse Association  
Waconia Heritage Association
- PUBLICATIONS**        Articles on general business management in publications such as  
Citibusiness. Various articles in legal, community and equine  
publications for professionals and laypersons.
- CONFERENCES**        Chair of the ADISA 2016 Annual Conference  
Chair of the ADISA 2015 Spring Symposium  
Various industry conference presentations and seminars on issues that  
are related to and include, but are not limited to commercial real estate,  
securitized commercial real estate such as REITS, TICs, DST's plus  
other types of securitized products such as BDC's, Oil and Gas  
investments; and other types of funds related to multiple types of  
industries and products.

## LEGISLATION

Lobbying for healthcare reform and funding for long term healthcare facilities  
Lobbying on commercial real estate and tax deferred exchange related legislation  
Lobbying and resource for bills regarding liability laws,  
Lobbying on banking laws

## PROFESSIONAL EXPERIENCE

### **HALPER & JOSEPH, PLLC**

Partner (January 2018 to present)

Specific legal services include:

**Business Consulting and Litigation:** Business disputes. Contract assessments and negotiation. Consulting and education services related to sales and services to Seniors and Vulnerable Adults.

**Compliance:** Compliance, investor suitability and risk management consulting related to alternative investments of many different types as well as emerging and operating businesses.

**Equine and Other Animal Consulting and Litigation:** Animal facility and operations risk assessment; Racetrack, show grounds, training facilities and veterinarian risk assessment and recommendations.

Contracts of any type related to the breeding, boarding and use of horses and other animals. Contracts and other legal services for animal and veterinary professionals.

**Real Estate:** General legal services related to residential and commercial real estate including but not limited to farm and agricultural properties and businesses. Real estate investment due diligence on behalf of investors in real estate ownership.

**Expert Witness Services:** Expert Witness services at FINRA arbitrations and civil court cases related to alternative investment products including but not limited to BDC's, commercial real estate investments such as REITs, DST's and TIC investments and other types of investments. Consulting or testifying at court proceedings related to businesses and equine related cases.

### **HALPER LAW OFFICE**

President (1992-1999 and 2016 to 2018)

**General Legal services for individuals and businesses**

### **COMMERCIAL REAL ESTATE DEVELOPMENT AND MANAGEMENT**

(1983 to present)

Rehabilitation of distressed commercial multi-family, office and office/warehouse properties. Entitled land and built warehouse, car wash, office building, vineyard and child care center. Investment and management of office buildings, multi-family buildings, vineyard, farms and raw land.

### **FACTRIGHT LLC AND AFFILIATES**

Founder, Principal and Chief Legal Officer (Sept. 2006 to Oct.2016)

CEO of FR Consulting Services, LLC, an affiliate of FactRight LLC and FR Risk Management LLC. Chief Legal Officer of FactRight LLC

Consultant to professionals in the securities industry on risk management issues including supervision, due diligence, suitability and damages. Expert Witness services including consulting or testifying at FINRA arbitrations and civil court cases related to alternative investment products and related companies.

**ARGUS REALTY INVESTORS, LLC**

Chief Operating Officer (2004 to 2006)

Management of sponsor of alternative investment products  
Obtained 39, 22 and 63 FINRA registrations.

**COMMONWEALTH FINANCIAL NETWORK**

Due Diligence Officer (2003 to 2004)

Reviewed alternative investment products and sponsors to assist in the determination of selling agreements for an independent Broker/Dealer with approximately 900 registered representatives. Developed company resources to provide current detailed information for registered representatives regarding product availability and sponsor profile. Reviewed due diligence and general suitability issues with registered representatives.

**MAGISTRATE, STATE OF MINNESOTA**

Major and outstate MN counties (1997 to 2003)

Rendered decisions on financial matters

**POPHAM, BLOOMQUIST & HALPER P.A.,**

Partner (January 1999 – February 2001)

General law practice with a focus on small and mid-size businesses including contract and litigation services. National equine law practice.

**SWADEN AND OLUP AND SUBSEQUENTLY SWADEN LAW OFFICE**

Attorney (October 1989 – June 1992)

**WILLIAM MITCHELL COLLEGE OF LAW**

Research Assistant (August 1988 – March 1989)

Professor Dan Kleinberger, William Mitchell College of Law Legal research and writing concerning aspects of business law.

**FEDERAL LAW CLERK**

(1988-1989) Federal Magistrate Bernard Becker

Wrote memorandums of law regarding decisions for criminal and civil federal cases

**HEALTH CARE FACILITY ADMINISTRATOR**

(1983-1988) Managed healthcare facilities with 100 to 125 beds. Also managed senior health care clinic in conjunction with pilot program established by Wilder Foundation, St. Paul, MN. Reputation established for ability to make positive changes to business financial status and to develop positive working relationships with government agencies.

Managed the first long term health care facility in MN to have zero deficiencies from inspections by Federal, State and County agencies