



NYSBA

**Section Chair**

**David C. Singer, Esq.**  
Dorsey & Whitney LLP  
New York City

**Program Co-Chairs**

**Evan J. Spelfogel, Esq.**  
Epstein Becker & Green, P.C.  
New York City

**A. Rene Hollyer, Esq.**  
Hollyer Brady LLP  
New York City

**Dispute Resolution Section  
and  
Fordham University School of Law**

**3 Day Commercial  
Mediation Training  
24 CLE credits**

**March 21–23, 2016**

Fordham University School of Law  
140 West 62nd Street, New York, NY 10023

**Presented by:**

Simeon H. Baum, Esq., litigator, mediator & President,  
Resolve Mediation Services, Inc. ([www.mediators.com](http://www.mediators.com))

Stephen A. Hochman, Esq., mediator & arbitrator



## AN OVERVIEW OF THE COURSE:

This three-day course will present a thorough examination of mediation principles and techniques. The program faculty will analyze the structure of a typical mediation, highlight ethical issues that may arise in mediation, and explore solutions for generating movement and overcoming impasse.

The program faculty will explore the differences between facilitative and evaluative or directive approaches in mediation, both from a practical and from an ethical perspective, and will discuss the advantages and disadvantages of these styles. The instructors will focus on experiential learning through role plays and dialogue to help prepare you for the real world of commercial mediation.

### Topics & Skills:

- Cultivating ideal Mediator orientation, attitude & awareness
- Effective Preparation
- Effective Communication
- Deep Listening Skills
- Effective Openings
- Maximizing Opportunities in Joint Session
- Wise Caucusing
- Power Risk Analysis – art, timing & tact in engaging in evaluative processes
- Impasse Breaking
- Coming to Closure
- Theoretical tools to Grasp the underlying Negotiation
- Mediation Ethics

***Registration fee includes continental breakfast, lunch, coffee breaks, and program materials.***

**\$795 for Dispute Resolution Section members or Fordham Law alumni**

**\$845 for NYSBA members**

**\$945 for Non-NYSBA members**

***The program faculty has presented the same training to mediators for the Commercial Division of the New York Supreme Court and received high accolades for their work.***

*"Thanks to you, we are confident that these new mediators bring to their role a strong grasp of mediation techniques and genuine understanding of the diverse issues they may confront. They can achieve the best results for the parties if they have a solid foundation in mediation, and that you have provided them."*

**Hon. Jacqueline W. Silbermann**, as Administrative Judge, 1<sup>st</sup> Judicial District

*"[Y]our work on this project was magnificent."*

**Hon. Stephen G. Crane**, as Administrative Judge, 1<sup>st</sup> Judicial District

## PROGRAM DIRECTORS AND PRESENTERS:

### **SIMEON H. BAUM, ESQ.**

Mr. Baum has practiced law in New York City for over 30 years as a commercial and general civil litigator, and has served as a neutral since the early 1990s. He is a principal of the firm of Simeon H. Baum, Esq., and President of Resolve Mediation Services, Inc. ([www.disputeResolve.com](http://www.disputeResolve.com)). He is a past chair of the New York State Bar Association's Dispute Resolution Section, and has conducted over 1,000 mediations, including numerous commercial disputes. Mr. Baum has taught, lectured, and written extensively on ADR, including teaching "Fundamentals of ADR" at New York University's School of Continuing and Professional Development, and negotiation, mediation, and processes of dispute resolution at the Benjamin N. Cardozo School of Law.

### **STEPHEN A. HOCHMAN, ESQ.**

Mr. Hochman practiced law for over 40 years, specializing in corporate, commercial and securities law. He has mediated over 350 commercial and other types of disputes, including class actions and financial, employment, insurance, real estate, partnership and bankruptcy disputes, approximately 98% of which have settled. Mr. Hochman now practices exclusively as a mediator and arbitrator and writes, consults and lectures frequently on ADR subjects. For over a decade Mr. Hochman has trained the mediators in New York County and various other downstate counties. He also served on the investment committees and boards of various non-profit corporations, including several hospitals and a captive insurance company.

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**CLE INFORMATION:** The New York State Bar Association's Meetings Department has been certified by the NYS Continuing Legal Education Board as an accredited provider of continuing legal education in the State of New York. Under New York's MCLE rule, this program will provide you with a total of **24 CREDIT HOURS**. The breakdown is as follows: 6.0 MCLE Credits in Areas of Professional Practice, 12.5 in Skills, 4.0 in Ethics, and 1.5 in Law Practice Management. **THIS PROGRAM IS TRANSITIONAL AND THEREFORE SUITABLE FOR NEWLY ADMITTED ATTORNEYS.**

**DISCOUNTS AND SCHOLARSHIPS:** New York State Bar Association members and non-members may receive financial aid to attend this program. Under this policy, anyone who requires financial aid may apply in writing, not later than ten working days prior to the program, explaining the basis of his/her hardship, and if approved, can receive a discount or scholarship, depending on the circumstances. For more details, please contact: Adriana Favreau, New York State Bar Association, One Elk Street, Albany, New York 12207.

**ACCOMMODATIONS FOR PERSONS WITH DISABILITIES:** NYSBA welcomes participation by individuals with disabilities. NYSBA is committed to complying with all applicable laws that prohibit discrimination against individuals on the basis of disability in the full and equal enjoyment of its goods, services, programs, activities, facilities, privileges, advantages, or accommodations. To request auxiliary aids or services or if you have any questions regarding accessibility, please contact Adriana Favreau at 518.487.5630 or [afavreau@nysba.org](mailto:afavreau@nysba.org).

# SCHEDULE OF EVENTS

## Monday, March 21, 2016, Morning Session

**4.5 MCLE Credits** (3.0 Areas of Professional Practice, 0.5 Ethics, 1.0 Skills)

- 8:00-8:30 a.m.**      **Coffee and Sign-in**
- 8:30-8:45 a.m.**      **Welcome and Introduction to the Commercial Mediation Training**  
Hon. Sherry Klein Heitler, Chief of Policy and Planning for the New York State Unified Court System's Office of Court Administration
- 8:45-9:35 a.m.**      **Commercial Mediation: The Basics**  
Simeon H. Baum with Stephen A. Hochman  
(1.0 MCLE Credit in Areas of Professional Practice)
- 9:35-10:25 a.m.**      **Theories of Conflict & Dispute Resolution Spectrum**  
Simeon H. Baum  
(1.0 MCLE Credit in Areas of Professional Practice)
- 10:25-10:40 a.m.**      **BREAK**
- 10:40-11:30 a.m.**      **Defining Mediation, Negotiation Theory, Strategy & Skills**  
Simeon H. Baum  
(1.0 MCLE Credit in Areas of Professional Practice)
- 11:30-11:55 a.m.**      **Ethics: Defining the Role of the Mediator**  
Simeon H. Baum with Stephen A. Hochman  
(0.5 MCLE Credit in Ethics)
- 11:55-12:45 p.m.**      **Negotiation Skills**  
Including Mediator Qualities, Tasks & Functions, Tips from the Tao te Ching  
Simeon H. Baum with Stephen A. Hochman  
(1.0 MCLE Credit in Skills)
- 12:45-1:30 p.m.**      **LUNCH**

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## Monday, March 21, 2016, Afternoon Session

**3.5 MCLE Credits** (1.0 Areas of Professional Practice, 0.5 Ethics, 2.0 Skills)

- 1:30-2:20 p.m.**      **Preparing for, and Commencing, the Mediation**  
Simeon H. Baum with Stephen A. Hochman  
(1.0 MCLE Credit in Skills)
- 2:20-3:10 p.m.**      **Caucuses, Risk Analysis & Closure**  
Stephen A. Hochman with Simeon H. Baum  
(1.0 MCLE Credit in Skills)
- 3:10-3:35 p.m.**      **Ethics: Ethical Issues that Arise in Caucus**  
Simeon H. Baum with Stephen A. Hochman  
(0.5 MCLE Credit in Ethics)
- 3:35-3:45 p.m.**      **BREAK**
- 3:45-4:35 p.m.**      **Prosando Mediation Video & Discussion**  
Simeon H. Baum with Stephen A. Hochman  
(1.0 MCLE Credit in Areas of Professional Practice)
- 4:35-5:00 p.m.**      **Questions and Answers**  
Simeon H. Baum with Stephen A. Hochman

# SCHEDULE OF EVENTS

## Tuesday, March 22, 2016, Morning Session

**4.5 MCLE Credits** (0.5 Areas of Professional Practice, 0.5 Ethics, 3.5 Skills)

- 8:00-8:30 a.m.**      **Coffee and Sign-in**
- 8:30-8:55 a.m.**      **Commencing the Mediation**  
Simeon H. Baum with Stephen A. Hochman  
*(0.5 MCLE Credit in Areas of Professional Practice)*
- 8:55- 9:20 a.m.**      **Generating Movement & Impasse Breaking Techniques**  
Stephen A. Hochman with Simeon H. Baum  
*(0.5 MCLE Credit in Skills)*
- 9:20-11:25 a.m.**      **Mediation Role Play**  
Small Groups with Facilitators  
*(2.5 MCLE Credits in Skills)*
- 11:25-11:35 a.m.**      **BREAK**
- 11:30-11:55 a.m.**      **Impasse Breaking Techniques Revisited, Logrolling**  
Stephen A. Hochman with Simeon H. Baum  
*(0.5 MCLE Credit in Skills)*
- 11:55-12:20 p.m.**      **Ethical Dilemmas in Impasse Breaking**  
Stephen A. Hochman with Simeon H. Baum  
*(0.5 MCLE Credit in Ethics)*
- 12:20-12:45 p.m.**      **Q & A, General Discussion**  
Stephen A. Hochman with Simeon H. Baum
- 12:45-1:30 p.m.**      **LUNCH**
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## Tuesday, March 22, 2016, Afternoon Session

**4.0 MCLE Credits** (0.5 Areas of Professional Practice, 3.5 Skills)

- 1:30-1:55 p.m.**      **Ten Mistakes Even Good Mediators May Make; Counterpoint to Ten Mistakes**  
Stephen A. Hochman  
*(0.5 MCLE Credit in Areas of Professional Practice)*
- 1:55-4:00 p.m.**      **Mediation Role Play**  
Small Groups with Facilitators  
*(2.5 MCLE Credits in Skills)*
- 4:00-4:10 p.m.**      **BREAK**
- 4:10-5:00 p.m.**      **Discussion of Role Play; Questions and Answers**  
Simeon H. Baum with Stephen A. Hochman  
*(1.0 MCLE Credit in Skills)*

## SCHEDULE OF EVENTS

### Wednesday, March 23, 2016, Morning Session

**4.0 MCLE Credits** (0.5 Areas of Professional Practice, 1.0 Ethics, 2.5 Skills)

- 8:00-8:30 a.m.**      **Coffee and Sign-in**
- 8:30-8:55 a.m.**      **Attorney's Role in Mediation**  
Stephen A. Hochman with Simeon H. Baum  
*(0.5 MCLE Credit in Areas of Professional Practice)*
- 8:55-9:20 a.m.**      **Ethical Issues Related to the Attorney's Role in Mediation**  
Stephen A. Hochman with Simeon H. Baum  
*(0.5 MCLE Credit in Ethics)*
- 9:20-11:25 a.m.**      **Mediation Role Play**  
Small Groups with Facilitators  
*(2.5 MCLE Credits in Skills)*
- 11:25-11:35 a.m.**      **BREAK**
- 11:35-12:00 p.m.**      **Ethics: Advice to Advocates in Mediation**  
Simeon H. Baum with Stephen A. Hochman  
*(0.5 MCLE Credit in Ethics)*
- 12:00-12:25 p.m.**      **Questions and Answers**  
Simeon H. Baum with Stephen A. Hochman
- 12:25-1:25 p.m.**      **LUNCH**

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### Wednesday, March 23, 2016, Afternoon Session

**3.5 MCLE Credits** (0.5 in Areas of Professional Practice, 1.5 in Law Practice Management, 1.5 Ethics)

- 1:25-1:50 p.m.**      **ADR in the Commercial Division: Description, Rules, and Objectives**  
Commercial Division Representatives  
*(0.5 MCLE Credit in Areas of Professional Practice)*
- 1:50-3:05 p.m.**      **Ethics: The New Rules of Professional Conduct and How they Relate to Mediators**  
Simeon H. Baum with Stephen A. Hochman  
*(1.5 MCLE Credits in Ethics)*
- 3:05-3:25 p.m.**      **BREAK**
- 3:20-4:35 p.m.**      **Tips and Challenges – Building a Mediation Practice**  
Simeon H. Baum with Stephen A. Hochman  
*(1.5 MCLE Credits in Law Practice Management)*
- 4:30-5:00 p.m.**      **Questions and Answers**  
Simeon H. Baum with Stephen A. Hochman

## DISPUTE RESOLUTION SECTION—ESCAPE THE FRAY

The flourishing field of Dispute Resolution continues to grow and expand across all areas of legal practice through the various processes of mediation, arbitration, neutral evaluation, negotiation, collaborative law, group facilitation, etc. The Dispute Resolution Section:

- Acts as a forum to address key issues and analyze and promote legislation in areas of concern to practitioners and users of varying dispute resolution processes;
- Provides neutrals and advocates continuing legal education and training to better appreciate, develop and refine skills in these processes;
- Offers an opportunity to consider and comment on ethical issues affecting practice;
- Affords a venue for practitioners, law school faculty and students, and dispute resolution providers to network and exchange ideas;
- Sharpens the skills of recently- trained mediators through our Mentoring program; and
- Furnishes access and information about dispute resolution to other members of the Bar and the public.

### *Rewarding Opportunities*

NYSBA's Dispute Resolution Section offers members many excellent opportunities to enhance their knowledge and expertise and to become active participants in shaping the future of the Section and this expanding field. Events featuring outstanding speakers and leaders in the field inform members in examining and evaluating critical developments. Actively meeting and working with colleagues in the field provides members with a forum to input and refine their ideas and thoughts about the complex issues affecting practitioners. The Dispute Resolution Section addresses such issues and communicates about them with the profession as a whole.

### *Participation Made Easy*

There are a variety of ways for Section members to participate as actively as they choose. Members may join and work on a committee to shape the future of the field, may read and contribute to our publication the New York Dispute Resolution Lawyer or our newsletter, and may attend our CLE workshops and hear speakers at our various committee meetings. The Section's Executive Committee encourages Section members to participate in all its activities and welcomes attendance at its meetings.

### *Become a Voice for the Association*

The Dispute Resolution Section addresses the major professional issues that affect practitioners, formulates positions and advocates where appropriate, including within the New York State Bar Association. Membership in the New York State Bar Association's Dispute Resolution Section is a valuable way for you to keep up-to-date on the developing issues and concerns that face the ever-changing legal profession. We welcome and encourage your participation and input. Online Resources such as Lois Law case alerts (a NYSBA membership benefit), a listing of relevant links, access to Section news and events, a searchable member data base, current publications and articles of interest to the field are available at the Dispute Resolution Section area of the NYSBA website, [www.nysba.org/drs](http://www.nysba.org/drs).

## FORDHAM UNIVERSITY SCHOOL OF LAW ADR & CONFLICT RESOLUTION PROGRAM

Fordham's Conflict Resolution & ADR Program offers a curriculum that balances theory and casework with real-world practice, reflecting the breadth and span of alternative dispute resolution practice within the legal and business communities. The Program provides students with unique opportunities to study the field of ADR through the renowned clinics and courses offered in negotiation, mediation, arbitration and international conflict resolution taught by leading academics in the field and experienced ADR practitioners. It also sponsors annual symposia on critical issues in domestic and international dispute resolution. Finally, the Program provides students with the opportunity to engage in public service through teaching mediation skills in the community. For more information, [www.law.fordham.edu/adr](http://www.law.fordham.edu/adr).

MEETING REGISTRATION FORM

Name \_\_\_\_\_

Attorney Nickname \_\_\_\_\_

Firm \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Phone ( \_\_\_\_\_ ) \_\_\_\_\_ Fax ( \_\_\_\_\_ ) \_\_\_\_\_

Email \_\_\_\_\_

FULL THREE DAY PROGRAM

Monday, March 21 - 8:30 a.m. - 5:00 p.m.

Tuesday, March 22 - 8:30 a.m. - 5:00 p.m.

Wednesday, March 23 - 8:30 a.m. - 5:00 p.m.

Dispute Resolution Section Member or Fordham Alumni Fee: \$795.00

Non DR Section Member Fee: \$845.00

Non NYSBA Member Fee: \$945.00

Electronic Online Course Materials

Complete course materials are distributed via email to registered attendees in downloadable, digital PDF searchable format at least one week prior to the program date, providing flexibility in using these materials in their day-to-day practice.

I would prefer to receive the hard copy for \$25.00

PAYMENT INFORMATION

Check or money order enclosed in the amount of \$ \_\_\_\_\_ (Make checks payable to New York State Bar Association.)

Charge \$ \_\_\_\_\_ to  American Express  Discover

MasterCard  Visa Expiration \_\_\_\_\_

Card Number \_\_\_\_\_

Authorized Signature \_\_\_\_\_

Dispute Resolution Section & Fordham University School of Law

Commercial Mediation Training March 21-23, 2016

Fordham University School of Law 140 West 62nd Street New York City

Registration fee includes:

Continental breakfast, lunch, coffee breaks and electronic online program materials for all three days of the conference.

Cancellation Notice:

Notice of cancellation must be received by March 4, 2016 in order to obtain a refund for registration fees.

Fax or mail this form with registration fee(s) to:

Adriana Favreau Meetings Representative New York State Bar Association One Elk Street Albany, New York 12207 Phone: 518.487.5669 Fax: 518.463.5993



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