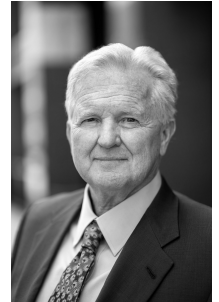


## Mark Appleton

### SPECIAL COUNSEL

**Email:** [mappleton@joneskeller.com](mailto:mappleton@joneskeller.com)

**Phone:** 303.573.1600



Mark Appleton is a seasoned trial attorney at Jones & Keller, P.C., based in Denver, Colorado, with more than 41 years of experience practicing at large and mid-size Denver firms. He has tried numerous jury and bench trials in Colorado and Nebraska and has handled more than 50 securities arbitration hearings and trials. Earlier in his career, while serving as regional trial counsel for the United States Securities and Exchange Commission, Mark tried Rule 10b-5 securities fraud cases before administrative law judges.

Mark handles all aspects of civil litigation, with particular depth in securities and commodities litigation, investment-related litigation, commercial and business litigation, banking litigation, and real estate investment litigation. His practice also encompasses claims under the Colorado Organized Crime Control Act (COCCA), professional liability defense, and regulatory defense.

In addition to his litigation work, Mark also works in the areas of securities, securities offerings, capital formation, finance, and corporate matters.

### REPRESENTATIVE PUBLISHED OPINIONS

- Ord, Inc. v. Am. First Bank & Van Korell, Supreme Court of Nebraska (No. 5-06-1363)
- Lee Family Trust and Lawrence and Marilyn Lee v. Michael Klein and Securities America, NASD Arbitration No. 00-4894
- David Hagstrom et al. v. Signil Wealth Network, Inc., et al., District Court, Adams County, State of Colorado, Case No. 2009CV57
- Lowry Economic Development Authority v. Omni Apartment Communities et al., District Court, City and County of Denver, Colorado, Case No. 2005CV4478
- Robert and Deborah Lundy Living Trust v. Glen L. Roundy, Third Judicial District Court, Salt Lake City, in and for the Salt Lake City, State of Utah, Civil No. 070911157
- Merline Leaming and GLFB, Ltd. v. Prudential Financial and Prudential Securities et al., NASD Arbitration No. 05-02566

### PRACTICE AREAS

Litigation

Trials

Securities, Securities Offerings, Capital Formation

Finance

Corporate

#### HONORS & DISTINCTIONS

- Martindale-Hubbell AV Preeminent rated attorney

#### MEMBERSHIPS

- Colorado Bar Association
- U.S. District Court for the District of Colorado
- U.S. Court of Appeals for the Tenth Circuit

#### LICENSED IN

##### ADMITTED GENERAL AND PRO HAC VICE:

Colorado

Utah (inactive)

U.S. District Court for the District of Colorado

U.S. Court of Appeals for the Tenth Circuit

##### PRO HAC VICE:

Utah

Nebraska

#### EDUCATION

JD - University of Wyoming School of Law, Laramie, Wyoming

MBA - University of Colorado, Denver, Colorado

BA - University of Utah, Salt Lake City, Utah