

Third Annual Current Issues in FINRA Arbitration and Enforcement Regional CLE Program

Bressler Amery & Ross PC
200 E. Las Olas Blvd.
Fort Lauderdale, FL 33301

Presented by the Section of Litigation Securities Litigation Committee

ABA
AMERICAN BAR ASSOCIATION
Litigation Section

February 20
2020



The ABA will seek **3.0** CLE credit hours in 60-minute states, and **3.6** CLE credit hours in 50-minute states. Credit hours are estimated and are subject to each state's approval and credit rounding rules.

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Program Agenda

Third Annual Current Issues in FINRA Arbitration and Enforcement Regional CLE Program

THURSDAY, February 20, 2020

8:30 AM – 10:00 AM **Registration**

8:30 AM – 9:00 AM **Breakfast**

9:00 AM – 10:00 AM

FINRA's Examination Findings and Priorities for 2020

This panel of regulatory attorneys who advise the securities industry and a FINRA representative will discuss supervision issues, including customer due diligence and amended Rule 3310; red flags for suitability; digital communication channels; and verifying authority under UTMA/UGMA accounts. The panel will also discuss business continuity and implementing FINRA Rule 4370

**GENERAL
CLE**

Moderator: Ann Furman, Carlton Fields PA, Washington, D.C.

Speakers: Michael Gross, Ulmer & Berne LLP, Boca Raton, FL; Robert K. Jamieson, Wiand Guerra King PA, Tampa, FL; Tino M. Lisella, Financial Industry Regulatory Authority Inc, Boca Raton, FL

10:00 AM – 11:00 AM

Protecting Seniors and Other Vulnerable Clients: Developments in the Law, Regulations, and Litigation Involving Investors with Diminished Capacity

The U.S. population is rapidly aging. Diminished capacity and related issues arising as a result of this fact will only become more common in litigation. Moreover, regulators are hyper-focused on these matters. This panel will analyze recent developments in the law and regulations governing the servicing of accounts held by seniors and other vulnerable clients. In addition, the panel will consider legal strategies needed to effectively present a case when trying matters involving diminished capacity.

**GENERAL
CLE**

Moderator: Joelle A. Simms, Bressler Amery & Ross PC, Fort Lauderdale, FL

Speakers: Melissa J. Acayan, Raymond James Financial, St. Petersburg, FL; Alise Johnson Henry, U.S. Securities and Exchange Commission, Miami, FL; Robert Mascio, Financial Industry Regulatory Authority Inc, Boca Raton, FL; Teresa J. Verges, Investor Rights Clinic, University of Miami School of Law, Coral Gables, FL

11:15 AM – 12:15 PM

In-House Insomnia: What Keeps Lawyers and Compliance Officers Up at Night?

This panel of in-house lawyers, compliance personnel and compliance Consultants will discuss emerging and chronic issues addressed at brokerage firms, including conflicts of interest, communications with the public, compensation arrangements, cybersecurity, and compliance culture.

**GENERAL
CLE**

Moderator: Joseph S. Simms, Reminger Co LPA, Cleveland, OH

Speakers: Mitchell Atkins, FirstMark Regulatory Solutions, Boca Raton, FL; Patricia E. Cowart, Wells Fargo Advisors, Fort Lauderdale, FL; Christopher M. Sacco, Morgan Stanley, St. Petersburg, FL; Richard Slavik, Investacorp Inc, Miami, FL

Program **Organizers**

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AMERICAN **BAR** ASSOCIATION

Litigation Section

General Information

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Requests for refunds must be made in writing and received no later than **February 10, 2020** in the ABA Section of Litigation office. Please email your request to Corey Irion at Corey.Irion@americanbar.org. There will be a \$10 administrative fee deducted from the refund. Cancellations received after February 10, 2020 will not be refunded; however, the Section will gladly accept substitutions for those unable to attend.

MCLE Credit

The ABA will seek **3.0** CLE credit hours in 60-minute states, and **3.6** CLE credit hours in 50-minute states. Credit hours are estimated and are subject to each state's approval and credit rounding rules. Please visit the program website at ambar.org/finra for CLE program details or visit www.americanbar.org/mcle for general information on CLE at the ABA.

Tuition Assistance

A limited number of scholarships to defray registration fees may be available for government employees, public interest lawyers employed with nonprofits, academics, unemployed attorneys, and law students. For more information, please contact Corey Irion at corey.irion@americanbar.org by **January 17, 2020**.

Attendance List

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Please complete the registration form below or click [here](#) for the registration page.

Full Name: _____
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Firm/Organization: _____
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A limited amount of scholarships are available for this program. For more information, please contact Corey Irion corey.irion@americanbar.org by **January 17, 2020**.

Registration Information:

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- ☐ **\$75.00** In-House Counsel
- ☐ **\$145.00** ABA Members
- ☐ **\$175.00** Non-Members
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Registration **Information**

*Please register by **February 10, 2020** to reserve your spot. We encourage you to register using the online registration link at ambar.org/finra. If you are unable to register online, please use the registration form to register by mail or fax only. In order to protect your credit card information from being compromised, we do not accept credit card payments via email.*

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