Regional CLE Program:

Second Annual Current Issues in FINRA Arbitration and Enforcement

February 22, 2019
Carlton Fields Jorden Burt, P.A.
4221 W. Boy Scout Blvd., Ste. 1000
Tampa, Florida 33607-5780

Presented by the Section of Litigation Securities Litigation and Privacy and Data Security Committees

3.0 hours of MCLE credit have been requested in 60-minute states and 3.6 hours of MCLE credit have been requested in 50-minute states.
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<td>12:30 PM – 1:30 PM</td>
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| 1:00 PM – 2:00 PM | **Cybersecurity and Data Safeguarding for Broker- Dealers and Investment Advisers**  
The protection of customer data is paramount to the modern investment professional, and this panel will address the current cybersecurity landscape for broker-dealers and investment advisers. This panel will include a description of some of the common cybersecurity risks that brokers face, and techniques they can use to control and shift risk. The panel will discuss both the Safeguards Rule of Regulation S-P and the Identity Theft Red Flags Rules of Regulation S-ID. The panel will address FINRA’s resources for members on data security, and its efforts on data protection after its seminal 2015 Report on Cybersecurity Practices. Lastly, the panel will discuss potential civil liability for brokers and investment advisers after a breach event.  

*Moderator: John E. Clabby*, Carlton Fields Jorden Burt PA, Tampa, FL  
| 2:15 PM – 3:15 PM | **The Ins and Outs of Investigations and Inquiries – What to Do and How to Do It**  
Regulatory inquiries and investigations are a fact of life and are not going away. A misstep can derail careers and destroy entire firms. This panel consisting of regulatory professionals, outside counsel and in-house personnel will provide insight into how to respond, what to provide, how to provide it, and who should be involved in the response process.  

*Moderator: Joseph S. Simms*, Reminger Co LPA, Cleveland, OH  
| 3:30 PM – 4:30 PM | **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.  

*Moderator: Joshua D. Jones*, Bressler Amery & Ross PC, Birmingham, AL  
*Speakers: Melissa H. Shea*, Fidelity Investments Boston, MA; *Teresa J. Verges*, Investor Rights Clinic, University of Miami School of Law, Coral Gables, FL; *Kyle Witschen*, Raymond James Financial, St. Petersburg, FL |
| 4:30 PM – 6:00 PM | Reception                                                               |
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Extend your participation by joining the Securities Litigation Committee and the Privacy and Data Security Committee! Committee membership is free for Section of Litigation members.
Registration
To register online, visit: ambar.org/finra
or return the Registration Form on the following page with your payment (checks only) to:
American Bar Association
Attn: Service Center – Meeting/Event Registrations Department
321 N. Clark Street, Floor 19
Chicago, IL 60654
Secure Fax Number: 312-988-5850

Please register by February 8, 2019 to reserve your spot.

Cancellations and Substitutions
Requests for refunds must be made in writing and received no later than February 8, 2019 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 8, 2019 will not be refunded; however, the Section will gladly accept substitutions for those unable to attend.

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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 312-988-6245 by February 8, 2019.

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Registration Information:
- $75.00  Section of Litigation Members
- $145.00  ABA Members
- $145.00  Non-Members
- FREE  Law Students

Checks for attendance and course materials should be made payable to the AMERICAN BAR ASSOCIATION (credit cards for online registration only).

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Please send your registration form and payment to:

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Meeting Code: LTSEC19