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

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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**THURSDAY, February 20, 2020**

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<tr>
<th>Time</th>
<th>Event</th>
<th>Details</th>
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</thead>
<tbody>
<tr>
<td>8:30 AM – 10:00 AM</td>
<td>Registration</td>
<td>Provided for participants to check in and prepare for the day's events.</td>
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<tr>
<td>8:30 AM – 9:00 AM</td>
<td>Breakfast</td>
<td>Breakfast is served to attendees.</td>
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<td>9:00 AM – 10:00 AM</td>
<td><strong>FINRA's Examination Findings and Priorities for 2020</strong></td>
<td>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.</td>
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<td><strong>Moderator:</strong> Ann Furman, Carlton Fields PA, Washington, D.C.</td>
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<td><strong>Speakers:</strong> Michael Gross, Ulmer &amp; 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</td>
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<tr>
<td>10:00 AM – 11:00 AM</td>
<td><strong>Protecting Seniors and Other Vulnerable Clients: Developments in the Law, Regulations, and Litigation Involving Investors with Diminished Capacity</strong></td>
<td>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.</td>
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<td><strong>Moderator:</strong> Joelle A. Simms, Bressler Amery &amp; Ross PC, Fort Lauderdale, FL</td>
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<td><strong>Speakers:</strong> 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</td>
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<tr>
<td>11:15 AM – 12:15 PM</td>
<td><strong>In-House Insomnia: What Keeps Lawyers and Compliance Officers Up at Night?</strong></td>
<td>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.</td>
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<td><strong>Moderator:</strong> Joseph S. Simms, Reminger Co LPA, Cleveland, OH</td>
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<td><strong>Speakers:</strong> 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</td>
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Program Organizers

John E. Clabby
Carlton Fields PA
Tampa, FL
JClabby@carltonfields.com

Joseph S. Simms
Reminger Co LPA
Cleveland, OH
jsimms@reminger.com

Joshua Jones
Bressler Amery & Ross PC
Birmingham, AL
jdjones@bressler.com
**Cancellations and Substitutions**

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](http://ambar.org/finra) for CLE program details or visit [www.americanbar.org/mcle](http://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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Full Name: ____________________________________________________________________________________
Member ID: ___________________________________________________________________________________
Firm/Organization: ______________________________________________________________________________
Address: _____________________________________________________________________________________
Apt.#: _____________ City:_________________ State:__________ Zip: __________
Phone:_____________________
Email: ________________________________________________________________________________________

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:

- □ $75.00 Section of Litigation Members
- □ $75.00 In-House Counsel
- □ $145.00 ABA Members
- □ $175.00 Non-Members
- □ FREE Law Students

Checks for attendance should be made payable to the AMERICAN BAR ASSOCIATION. Fax or mail credit card payment by using the form below.

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Please send your registration form and payment 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
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/fnra. 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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