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.
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

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

**Speakers:** Dionne Fajardo, Wiand Guerra King PA, Tampa, FL;
Michael Gross, Ulmer & Berne LLP, Boca Raton, 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.

**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.

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

**Speakers:** Marcus Arnaud, Investacorp Inc, Miami, FL;
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
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
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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.

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