

**bmitchell@piaba.org**

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**From:** rsringo@piaba.org  
**Sent:** Thursday, September 17, 2020 1:14 PM  
**To:** bmitchell@piaba.org  
**Subject:** FW: Sponsor Course Approval - Fundamentals of FINRA Arbitration Series Webinars: When the FINRA Forum Applies and Vetting and Acce

See below.

Robin S. Ringo  
PIABA, Executive Director  
1225 West Main Street, Ste. 126  
Norman, OK 73069  
Direct: (405) 300-8909  
Email: rsringo@piaba.org

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**From:** Phillip McWilliams <pmcwilliams@ncbar.gov>  
**Sent:** Thursday, September 17, 2020 12:11 PM  
**To:** pmcwilliams@ncbar.gov <rsringo@piaba.org>  
**Subject:** Sponsor Course Approval - Fundamentals of FINRA Arbitration Series Webinars: When the FINRA Forum Applies and Vetting and Acce

## **Board of Continuing Legal Education**

217 E. Edenton Street  
Post Office Box 26148  
Raleigh, North Carolina 27611  
Phone: 919-733-0123  
Fax: 919-821-9168  
[www.nccle.org](http://www.nccle.org)

09/17/20

Public Investors Arbitration Bar Association (PIABA)  
Robin Ringo  
1225 W. Main St., Suite 126  
Norman, OK 73069

**Re:** Fundamentals of FINRA Arbitration Series Webinars: When the FINRA Forum Applies and Vetting and Acce - 09/08/20  
**Sponsor:** 1546; **Course:** 5 **Location:** Live Webcast

Dear Sponsor:

The Board of Continuing Legal Education, through its Accreditation Committee, has approved the referenced CLE activity. Any North Carolina attorney attending will receive 1.00 hour(s) of CLE credit, of which 0.00 hour(s) \* will be available to satisfy the substance abuse/mental health awareness requirement, 0.00 hour(s) will be available to satisfy the professional responsibility/ethics requirement, and 1.00 hour(s) will be available to satisfy the general

requirement. Please note the sponsor and course numbers above. Identification numbers should accompany attendance, payment, and other references to this course.

As a reminder, North Carolina requires 2 hours of ethics and 10 hours of other approved activities annually; every third year, we require one additional hour of ethics credit dealing specifically with substance abuse and/or mental health issues for attorneys. Credit is based on a 60-minute hour. Activities that are primarily social in nature are not approved.

As a sponsor of this program, you are reminded of your obligation to transmit to the Board, within 30 days after your presentation, an alphabetical list of North Carolina lawyers, with state bar numbers, in attendance; you should also submit any changes in content, faculty or timing that are substantially different from previous submissions. If you are sponsoring a course with concurrent sessions, please advise us of the specific number of credit hours that each attorney attended.

Payment of the North Carolina State Bar or sponsor fees should accompany attendance reports. The fees are not paid by the sponsor when an approved activity is offered without charge to attendees and/or when the sponsor is headquartered outside North Carolina and the event is held outside North Carolina. In the latter case, payment of the fee by the sponsor is optional. The fee is \$3.50 per credit hour per attorney. Example: 6 hour class x \$3.50 = \$21.00 per attorney x 7 attorneys = \$147.00.

Thank you very much for your attention to our requirements.

Sincerely,  
Phillip McWilliams,  
Compliance Coordinator

**\* No partial credit under 60 minutes may be given for the substance abuse & technology component of a CLE activity.**

Please be advised that the contents of this message and any reply may be subject to disclosure under North Carolina law. Informal ethics inquiries and advisories communicated via electronic mail are confidential pursuant to Rule 1.6 of the Rules of Professional Conduct. Attorney Client Assistance Program communications and Lawyer Assistance Program client communications via electronic mail are also treated as confidential pursuant to Rule 1.6 of the Rules of Professional Conduct and N.C. Gen. Stat. 84-32.1.