

# PIABA Annual Meeting

October 18-21, 2017

*The Broadmoor*

*Colorado Springs, CO*



**#PIABA2017**

## Register NOW!

Deadline September 11, 2017

Online at [www.piaba.org/register](http://www.piaba.org/register)

Fax form to (405) 360-2063

Send questions to  
[piaba@piaba.org](mailto:piaba@piaba.org)

**PIABA**  
*protecting public investors*

# General Information



## Hotel Information

THE BRO<sup>A</sup>DMOOR  
1 Lake Ave  
Colorado Springs, CO 80906  
[www.broadmoor.com](http://www.broadmoor.com)

PIABA continues to accept hotel reservations for the 2017 PIABA Annual Meeting. The PIABA block rate is \$279 for single or double rooms. Rooms and rates are subject to limited availability. Applicable taxes are currently 9.63% room tax and 2.25% public improvement fee. The resort fee is \$20, and includes daily newspaper, wi-fi internet access in guest room, coffee maker in guest room with quality brand coffee & teas, gym and participation in all fitness classes, daily housekeeping services and local telephone calls.

## Annual Meeting and Securities Law Seminar Information

Meeting registration fees include all open general sessions, breakouts, continuing education credit, conference materials, food and beverage group functions, including breakfasts, breaks, luncheons, and any associated evening events. Break-out sessions are scheduled on Friday and Saturday during the Annual Meeting. Meetings denoted as “closed” are open to PIABA Members only. Early meeting registration is encouraged. Walk-ins will be accepted on a space availability basis.

## Annual Meeting and Securities Law Written Materials

Meeting Registrants will receive the written materials by download only. If printed materials are preferred, Registrants are encouraged to print and bring them for their use at the Meetings. Materials will be available for download on your laptop, iPad, or other tablet beginning October 13th. Internet service will be available in the meeting spaces throughout the week. PIABA Staff will be available October 18th–21st during all open registration hours to assist with written material download. Following the conclusion of the meeting, all fully registered PIABA members will continue to have unlimited access to written materials for meetings they registered to attend.

## Guest Registration Fee

The guest registration fee includes all food and beverage group functions for those fully registered as a PIABA guest (*including the Guest Meet and Greet on Thursday morning*). The fee does not include scheduled meetings or breaks. Continuing legal education credit will not be earned by those registering as or paying the guest registration fee.

## Meeting Registration Deadline/Cancellation Policy

The meeting registration deadline is September 11, 2017. Individuals submitting their registration form and fees after this date will be assessed a \$200 per person late fee. Walk-in registrations will be accepted on a space available basis and are subject to the \$200 per person late fee. Cancellations received on or before September 11, 2017 will receive a full refund less a \$200 processing fee. No refunds will be issued for cancellations received on or after September 12th.

## Dress Code and Name Badges

In general, dress for meetings is casual while business attire is appropriate for the President’s Dinner on Friday evening. Comfortable shoes are strongly suggested. An official PIABA name badge is required to gain admission to any PIABA program, meal, social event, or to utilize any on-site transportation provided by PIABA. Individuals attending PIABA functions without their badge will be asked to retrieve it or leave the function.

## Air Travel

Colorado Springs Airport (COS) is conveniently located just 15 minutes from The Broadmoor and is serviced by several major airlines, with non-stop flights available through several U.S. cities. Denver International Airport (DEN), provides nonstop daily service to more than 126 domestic and international destinations and is located 90 minutes from the resort.

## Ground Transportation

Round-trip and one-way shuttle service can easily be arranged through The Broadmoor Transportation Department. Contact them at 719.362.3276 to arrange reservations.

## Car Rental

For rental car assistance, please contact the Broadmoor Concierge at 866.837.9482.

## Spa at The Bro<sup>A</sup>dmoor

Replenish with a simple treatment or immerse yourself in total relaxation. To receive the 15% PIABA group discount on individual a la carte Spa treatments, contact Spa Reservations at (866) 686-3965. Be sure to let the reservation assistant know you are a PIABA registrant.

## Continuing Education

In general, registrants may expect to receive six (6) hours\* of CLE credit, including one (1) hour of ethics for Securities Law, and 12-14 hours\* of CLE credit, including one (1) hour of ethics for the Annual Meeting. Registrants requiring professional credit should contact PIABA for further information and assistance.



At a minimum, PIABA will apply for continuing education accreditation for the following states. To obtain approval updates, please visit [www.PIABA.org](http://www.PIABA.org) and select MCLE Information.

## States:

Alabama, Arizona, Arkansas, California, Colorado, Florida, Georgia, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maine, Minnesota, Missouri, Mississippi, Montana, Nevada, New Jersey, New York, North Carolina, Ohio, Oklahoma, Oregon, Pennsylvania, Tennessee, South Carolina, Texas, Utah, Virginia, Washington, Wisconsin, Wyoming

\*These are estimates and subject to final approval by each accrediting agency. PIABA is unable to provide Certified Financial Planner accreditation.

Many states have implemented late fees for MCLE applications submitted within 30 days of the program date. As such, PIABA will apply for MCLE credit through September 11, 2017 for individuals who pre-register on or before September 11, 2017. After September 11, 2017, PIABA will assist registrants seeking credit for the meetings, but will not be responsible for application fees.



*Audio and video taping of conference events, general sessions and break-outs is strictly prohibited.*

*PIABA reserves the right to change meeting sessions and speakers at any time for any reason. PIABA further reserves the right to restrict attendance at any meeting session.*

# PIABA Meeting Schedule



## Wednesday, October 18, 2017

8:00 am - 4:00 pm	Securities Law Registration
8:15 am - 9:45 am	Breakfast Buffet
9:00 am - 10:00 am	The DoL's Fiduciary Rule
10:00 am - 11:00 am	Supervisory and Compliance Structures of Brokerage Firms
11:00 am - 11:15 am	Break
11:15 am - 12:15 pm	Investment Products: Buffer Annuities
12:15 pm - 1:15 pm	Luncheon
1:15 pm - 2:45 pm	Ethics: What Every Attorney Should Know About Technology in Practice
2:45 pm - 3:00 pm	Break
3:00 pm - 4:00 pm	Cybersecurity
4:00 pm - 5:00 pm	Case Law Round-up/Hot Topics



PIABA Members (left to right) Walter Mathews, Dayton Haigney and Mark Tepper

## Thursday, October 19, 2017

8:00 am - 4:00 pm	Annual Meeting Registration
7:30 am - 9:00 am	Breakfast Buffet
7:30 am - 8:30 am	New Member Breakfast
8:30 am - 8:45 am	President's Welcome, Marnie C. Lambert
8:45 am - 9:45 am	NASAA Report and Round Table
9:45 am - 10:45 am	Review of FINRA DR Activities and Developments in 2017
10:45 am - 11:00 am	Break
11:00 am - 12:00 pm	Mediation Strategies
12:00 pm - 1:30 pm	Member Business Meeting, <i>Closed</i>
12:00 pm - 1:30 pm	Luncheon, Non-Members and Guests
12:45 pm - 1:30 pm	Expert's Roundtable, <i>Open</i>
1:30 pm - 2:30 pm	Hearing Presentation and Strategy as seen by the Experts
2:30 pm - 2:45 pm	Break
2:45 pm - 4:15 pm	Arbitration Pre-Hearing Techniques: Getting to the Hearing Room
9:00 am - 10:30 am	Guest Meet and Greet Breakfast
4:30 pm - 7:00 pm	PIABA Tennis Tournament
4:30 pm - 7:30 pm	Microbrewery Tour
8:00 pm - 9:30 pm	PIABA Welcome Reception

## Friday, October 20, 2017

8:00 am - 12:00 pm	Annual Meeting Registration
7:30 am - 9:00 am	Breakfast Buffet
8:15 am - 9:15 am	Ethics in Arbitration
9:15 am - 10:45 am	Arbitration Hearing Techniques: Proving Liability and Damages and Avoiding Common Defenses
10:45 am - 11:00 am	Break
11:00 am - 12:00 pm	Break-Out Session 1 (1, 8, 9, 14)
12:30 pm - 6:00 pm	PIABA Golf Tournament
12:30 pm - 6:30 pm	Bernstein non-Golf Adventure
6:30 pm - 11:45 pm	President's Dinner, Casino Night and Auctions

# What's Happening?

## Saturday, October 21, 2017

8:00 am - 1:30 pm	Annual Meeting Registration
8:15 am - 9:45 am	Breakfast Buffet
8:30 am - 9:30 am	Break-Out Session 2 (1, 5, 7)
9:30 am - 9:45 am	Break
9:45 am - 10:45 am	Breakout Session 3 (3, 8, 10, 13)
10:45 am - 11:00 am	Break
11:00 am - 12:00 pm	Breakout Session 4 (4, 6, 9, 12)
12:00 pm - 1:30 pm	Luncheon with Keynote Address
1:45 pm - 3:15 pm	View from the Defense Bar
3:15 pm - 3:30 pm	Break
3:30 pm - 4:30 pm	Breakout Session 5 (2, 11, 14)
5:30 pm - 7:00 pm	PIABA Closing Reception



# Securities Law Session Descriptions

**Wednesday, October 18, 2017**

**The DoL's Fiduciary Rule: How it Compares to (and Impacts) Existing Standards for Broker-Dealers and Investment Advisers**, *Teresa J. Verges, Moderator; Christine Lazaro; Mercer E. Bullard* (9:00 am – 10:00 am). This segment will explore the requirements of the Department of Labor's (DOL) fiduciary rule and the "best interest" contract exemption for financial intermediaries. The panel will also discuss the differences among fiduciary duty standards applied in varying contexts, including ERISA, discretionary accounts, conduct standards for investment advisers, and under state common law, and explore how the DoL's fiduciary duty and its requirements compare with and impact those standards.

**Supervisory and Compliance Structures of Brokerage Firms: Compliance with Fiduciary Standards and the "Best Interest" Contract Exemption**, *Elissa Germaine, Moderator; Vincent Micciche; Alan Besnoff* (10:00 am – 11:00 am). This segment will build upon the prior session and examine the supervisory and compliance structures at dually registered firms required to act as a fiduciary in varying contexts, and explore how firms view their duties to customers holding accounts subject to different standards. The panel will further discuss the procedures firms have put in place to comply with the DoL fiduciary rule and the best interest contract exemption.

**Investment Products: Buffer Annuities**, *Scott E. Eichhorn, Moderator; John Duval, Sr.* (11:15 am – 12:15 pm). From the workshop of hybrid annuities, buffer annuities have emerged as an increasingly popular annuity product that offers a cross between an indexed annuity and a variable annuity. Attractive to some investors who wish to participate in equity markets, buffer annuities combine features of variable annuities with structured products to limit losses and cap gains. However, most buffer annuities offer only a degree of downside protection. Given the fact that the underlying investments include complicated products like index options, investors can be exposed to significant risk that might not be apparent on the surface. This session will focus on the sales and commonly misunderstood features and risks of buffer annuities.

**Ethics: What Every Attorney Should Know About Technology in Practice**, *Nicole Iannarone, Moderator; Taylor Faw* (1:15 pm – 2:45 pm). This segment will provide an overview of the ethical standards relating to technological competence in law practice. We will discuss threats in technology and outline what every lawyer should know about technology and its impact on their practice. We plan to seek approval from the Florida Bar to meet its new technology CLE rule.

**Cybersecurity: Regulation and Enforcement in the Battle of Attacks on Investor and Firm Information**, *Darlene Pasieczny, Moderator; Kevin Rosen* (3:00 pm – 4:00 pm). This segment will discuss the cyber threats to the information and computer systems of brokerage firms, including email hack attacks, insider threats, improper transfer or theft of customer assets, misuse and theft of customer data. The panel will discuss regulatory requirements of broker-dealers to protect customer information from cybercrimes, from both internal and external threats, responding to cybercrimes and data breaches, record retention requirements under SEC regulations and FINRA rules. The discussion will also touch upon new cyber security requirements for financial firms under the new rule issued by New York's Department of Financial Services, FINRA/SEC cybersecurity exam priorities, and FINRA/SEC enforcement cases and trends.

**Case Law Round-up/Hot Topics**, *Benjamin Edwards, Moderator; Moshe Singer* (4:00 pm – 5:00 pm). Discussion of pertinent securities and arbitration law cases in 2017.



## Annual Meeting Plenary Session Descriptions

**Thursday, October 19, 2017**

**NASAA Report & Roundtable**, *Hugh Berkson, Moderator; Joseph Borg* (8:45 am – 9:45 am). This session highlights recent and current NASAA initiatives, including those relating to investor arbitration in Congress, the SEC, and FINRA.

**Review of FINRA DR Activities and Developments in 2017**, *Marnie C. Lambert, Moderator; Kathryn Bayer; Richard Berry* (9:45 am – 10:45 am). Discussions include FINRA arbitration issues, approved rule changes, and rule proposals.

**Mediation Strategies**, *Mark E. Maddox, Moderator; Howard Tescher; Gary Saretsky; Jeff Grubman* (11:00 am – 12:00 pm). Experienced mediators and counsel for both investors and brokerage firms will discuss advanced mediation strategies to help you get the best possible offers from Respondents at your mediations.

**Expert's Roundtable**, *David Keogh* (12:45 pm – 1:30 pm). Discussion about managing and growing an Expert's practice; improving knowledge and skills; cost-effective resources; and best ethical practices.

**Hearing Presentation and Strategy as seen by the Experts**, *Philip M. Aidikoff, Moderator; Louis Straney; Douglas Schulz; Vincent Micciche* (1:30 pm – 2:30 pm). Effective and ineffective hearing strategies and presentations that have been utilized by Claimants and Respondents.

**Arbitration Pre-Hearing Techniques: Getting to the Hearing Room**, *Michael Edmiston, Moderator; Moshe Singer; David Robbins; Timothy O'Connor* (2:45 pm – 4:15 pm). This program focuses on best practices and

current issues facing Claimants' counsel prior to the hearing. The program assumes attendees are familiar with FINRA practice and procedure and will address issues in: pleading the case to trigger insurance coverage; arbitrator selection, due diligence, and disclosure; discovery practice; and defeating the now resurgent motions to dismiss.

**Friday, October 20, 2017**

**Ethics in Arbitration**, *Jeffrey Sonn, Moderator; Adam Weinstein* (8:15 am – 9:15 am). This seminar will explore various ethical issues affecting lawyers in arbitration such as conflicts of interest, duties owed to third parties, and the aggregate settlement rule. Attorneys will be presented with various fact patterns and explore ethical rules used to prosecute attorneys in disciplinary proceedings from real cases.

**Arbitration Hearing Techniques: Proving Liability & Damages and Avoiding Common Defenses**, *Scott Ilgenfritz, Moderator; Mark Tepper; Ross Intelisano; Adam Gana; William B. Young* (9:15 am – 10:45 am). This session will address pleading and proving a suitability case and pleading and proving a churning case. Panelists will also address proving damages, dealing with commonly asserted arguments by respondents regarding damages, and countering commonly asserted defenses.

**Saturday October 21, 2017**

**View from the Defense Bar**, *Andrew Stoltmann, Moderator; Howard Tescher; Bruce Lewitas; Brandon Reif; Frederick Schriels; Alan Rafterman* (1:45 pm – 3:15 pm). FINRA Arbitration as viewed by the defense bar.

# Break-Out Session Descriptions

**1. Compensation for Brokers and Broker-Dealers**, *Jenice Malecki, Moderator; Pearl Zuchlewski; Joseph Borg; Edward O'Neal* (10/20/17: 11:00 am - 12:00 pm; 10/21/17: 8:30 am - 9:30 am). This session is an overall look at compensation from the standpoint of the institution and how it may, in certain instances, raise issues of conflict of interest with its customers. We will talk about the North American Securities Administrators Association's (NASAA's) model fee disclosure schedule and related accessibility guidelines to help investors better understand and compare various broker-dealer service and maintenance-related fees. A case study on UBS and the Puerto Rico Closed-End Bond Funds – underwriter, advisor, broker, market-maker (or not), etc., as well as affiliate compensation and other disclosures in customer accounts, some that shockingly talk about disincentives to reduce fees. Disclosure of conflicts does not alleviate a brokerage firm of the conflict or give it a license to abuse it.

## **2. Secondary Liability for Investment Fraud/Ponzi Schemes: Spotting Cases and Identifying Potentially Liable Parties**, *Alan Rosca, Moderator; Paul Scarlato; J. Barton Goplerud*

(10/21/17: 3:30 pm - 4:30 pm). For nearly every fraudulent investment scheme that raises over \$1 million from the investing public, the perpetrators will likely need support from third-party entities to be able to operate and grow the scheme. Those entities often become involved and assist the scheme in one way or another – and could potentially become liable to investors victimized by the scheme. The usual suspects include banks, underwriters, self-directed IRA custodians, clearing services, lawyers, accountants, other professionals. In certain instances – such as when they acquire sufficient knowledge of the scheme or breach an independent duty – those entities may be held liable to the investors. This presentation is a primer on secondary liability in connection with fraudulent investment schemes. It discusses the legal framework for cases against third parties, various types of third parties that may be held liable, and types of claims that may be asserted against them.

**3. ERISA Class Action**, *Joseph C. Peiffer, Moderator; Todd Collins; Garrett Wotkyns* (10/21/17: 9:45 am - 10:45 am). This session will give you a primer from beginning to end of an ERISA class action. It will include recent trends in ERISA class actions, how to spot a good ERISA case, what to look for in your current clients' statements for these cases, how to file and keep control of the case, various litigation strategies and settlement of ERISA Class cases.

**4. Insurance as an Investment Vehicle**, *Katrina Boice, Moderator; Thomas Ajamie; Ryan Cook; Theodore Affleck* (10/21/17: 11:00 am - 12:00 pm). Discussion of the suitability of various insurance products and hearing strategies.

**5. Cross Examination of Experts**, *Jeffrey Erez, Moderator; Craig McCann* (10/21/17: 8:30 am - 9:30 am). This session will cover cross examination of expert witnesses. As the respondent typically calls its expert towards the end of their case in chief and just prior to closing argument, it is critical to neutralize the expert and better yet recapture momentum if at all possible. In this seminar we will discuss how to prepare for the expert cross including which materials should be reviewed and collected prior to the cross examination such as transcripts of the expert's testimony. The session will also address *voire dire* of the expert, what areas to cover and the questions to ask and those to avoid. We will then turn our attention to the actual cross examination of the expert's opinion as testified to in the final hearing. Special emphasis will be placed on how to address the expert's key opinions, how to challenge the expert on key opinions, getting the expert to agree with you on your theories of the case and recapturing momentum via respondent's expert in the Respondent's case in chief.

**6. Regulatory Changes to the Investment Advice Industry**, *Christine Lazaro, Moderator; Benjamin Edwards* (10/21/17: 11:00 am - 12:00 pm). This session will focus on new rules and regulations which affect investment advice. We will review new FINRA and SEC rules (other than those governing the arbitration process), and will provide an overview and update on the Department of Labor's fiduciary duty rule.

**7. Law Firm Marketing: What Works and What Doesn't**, *Mark Pugsley, Moderator; Kirk Smith* (10/21/17: 8:30 am - 9:30 am). We will explore marketing strategies that firms are using to get new cases, including websites, print advertising, radio and social media. We will have a panel of three PIABA members, and possibly a local advertising expert to talk about where their cases are coming from, advertising success and failures, and where they get the most bang for their buck. We will also explore new media and how PIABA members are using blogs, Facebook, Twitter and other social media sites to appeal to younger clients who may not get their information from the same sources as older folks.

**8. Do's and Don'ts of Group Arbitration Claims**, *Sean Sweeney, Moderator; Richard Lewins; Joseph Wojciechowski; Alan Rosca* (10/20/17: 11:00 am - 12:00 pm; 10/21/17: 9:45 am—10:45 am). A group arbitration can be a great way to benefit from economies of scale, consistent testimony regarding a broker's conduct, and help to leverage a settlement. However, they come with their own challenges and perils for the unwary. A panel of attorneys who have experience bringing group claims will explain their strategies, organization techniques, relevant FINRA rules, and the traps to avoid in group claims ranging from settlement discussions and authority, conflicts and waivers, logistics and schedules, to presenting at hearing with more than one Claimant. Group claims can be a great tool, but they require planning and forethought to do them well; learn from the past successes and failures of your colleagues in this session.

**9. Supervision (or Lack Thereof) at Independent-Contractor Broker-Dealers**, *Patricia Vannoy, Moderator; Lance McCardle; David Gaba; Sander Ressler; Kathy Adams* (10/20/17: 11:00 am - 12:00 am; 10/21/17: 11:00 am - 12:00 pm). Broker-dealers are required to supervise their reps, but in the "self-regulatory" world, how they do that is largely up to them. In this session, we'll discuss how broker-dealers who use the independent contractor model approach supervision, and how you can use this information in your practice. As one panel member summed it up: indie supervision is often "terrible."

**10. Tax Treatment of Client Settlements**, *Jeffrey Pederson, Moderator; Howard Bernstein; Tim West* (10/21/17: 9:45 am - 10:45 am). Taxation issues concerning investment losses and settlements are things that leave many securities arbitration practitioners confused. We will have a panel discussion with taxation experts and will discuss the current state of the law concerning different treatments of settlement of the most common investment claims. We will also discuss tax liability for DPPs and as an element of damages in DPP claims.

**11. Crowdfunding**, *Jason Burge, Moderator; Brian Henderson* (10/21/17: 3:30 pm - 4:30 pm). Crowdfunding is no longer just about Kickstarter and charity campaigns. Since the passage of the 2012 Jobs Act, companies can now solicit investors directly with general solicitations and advertising for the first time in over 80 years. Total crowdfunding investment has been growing at a rate of 225% per year, to a total of \$2.5 billion raised from investors by 2015. In this session, we'll discuss the different ways that companies can solicit investments directly from both accredited and retail investors, and we'll discuss the parties, including FINRA-regulated "funding portals," that could be liable when your client has been defrauded through a crowdfunding investment.

**12. Don't "Just Say No"; When a Class Action May Be the Best Option for Recovery**, *David P. Meyer, Moderator; Matthew Wilson* (10/21/17: 11:00 am - 12:00 pm). We all speak regularly with potential clients who have compelling stories of how they have been ripped off, but often, because there may be too little money at stake on an individual basis, we are forced to decline representation. In the first-ever PIABA annual meeting on this topic, we will discuss how to evaluate such cases for their class action potential. The class action



Approved for  
CLE Credit

## Break-Out Session Descriptions (*con't*)

device is best suited to just this type of case: one that may not make economic sense to pursue individually, but when many are pooled together, amounts to a very significant matter that will get the defendant's attention and can achieve significant deterrent effect on a company's future actions. In this session, you will learn many of the factors that determine whether a particular fact scenario could make for an effective class action ... and just as importantly, which facts are class action killers. We will also discuss class action fundamentals, as well as class action settlement strategies.

**13. Creative Counters to Dirty Deeds - Use Respondents' Dirty Tricks to Your Advantage (closed)**, *Lisa Braganca, Moderator; Peter J. Mougey; Hugh Berkson; Nicholas Guiliano* (10/21/17: 9:45 am - 10:45 am). We all have had this experience: you are having a perfectly fine day when out of the blue you receive an email from respondent that sends your blood pressure skyrocketing. It could be a refusal to comply with a Panel discovery order, a filing with a fictional statement of facts or law, or a refusal to do what respondent previously agreed to do. While you might be tempted to let off steam through a primal scream, there is a better way. We will discuss how you can turn respondents' dirty deeds against them for the good of your clients and your health. We invite an open dialogue addressing recent trends and ways to turn the tables on respondents.

**14. Dealing with Diminished Capacity: Ethical Obligations of the Elder Client's Attorney, the Brokerage Firm and the Duty to Disclose**, *Teresa Verges, Moderator; Samuel Edwards; Nicole Iannarone* (10/20/17: 11:00 am - 12:00 pm; 10/21/17: 3:30 pm - 4:30 pm). This break out session will explore the ethical issues involved in representing seniors and other vulnerable adults in securities arbitration cases, including the issues of third party involvement, identifying the client and his or her best interests, protecting seniors and other vulnerable adults from financial exploitation, and the tension between confidentiality and privacy rules and disclosure requirements. The session will also discuss attorneys' ethical obligations to recognize their own limitations caused by aging or other physical or mental limitations (or those of their peers or colleagues).

## Annual Meeting - Food & Beverage Events

### BREAKFAST EVENTS

Breakfast is included for all fully registered PIABA Annual Meeting attendees and guests on Thursday, Friday and Saturday. (Refer to the meeting agenda for times)

### PIABA ANNUAL BUSINESS MEETING

The Business Meeting Agenda includes the President's Report and Director elections. (Date: October 19, 2017;; Time: 12:00 pm - 1:30 pm)

Non-members are invited to lunch in the Lobby and to attend the Expert's Roundtable. (Date: October 19, 2017; Time: 12:00 pm - 1:30 pm)

### WELCOME RECEPTION

The Welcome Reception is open to all registered Annual Meeting registrants, guests, sponsors and exhibitors. Heavy hors d'oeuvres will be served. (Date: October 19, 2017; Time: 8:00 pm - 9:30 pm)

### PRESIDENT'S DINNER & CASINO NIGHT

Join us as we honor outgoing PIABA President, Marnie C. Lambert, and welcome incoming President, Andrew Stoltmann. The evening begins with a cocktail reception followed by the President's Dinner and Awards Ceremony. Casino Night begins following the conclusion of the Awards Ceremony. Annual Meeting registrants, registered guests, and sponsors are invited to attend. (Date: October 20, 2017; Time: 6:30 pm - 11:45 pm)

### SATURDAY KEYNOTE LUNCHEON

Annual Meeting registrants, registered guests, and sponsors are invited to attend the Luncheon with Keynote speaker Ralph S. Janvey. (Date: October 21, 2017; Time: 12:00 am - 1:30 pm)

### CLOSING RECEPTION

Enjoy food and drinks as PIABA hosts its closing event. All Annual Meeting registrants, guests, and sponsors are invited. (Date: October 21, 2017; Time: 5:30 pm - 7:00 pm)

## Meeting Events

To register for Meeting Events, complete and submit the 2017 PIABA Meeting Registration Form or Event Registration Form. Event payment is due October 2, 2017.

**GUEST MEET & GREET.** Whether you are a veteran Annual Meeting Guest or new to this year's meeting, you are invited to join the PIABA Guest Breakfast. This is your opportunity to see old friends and make new ones! All registered guests are welcome to attend. There will be prizes, but you must be present to win! (Date: October 19, 2017, Time: TBA, Location: TBA)

**TENNIS TOURNAMENT.** Following a short warm-up session, the Club Pro will pair players, based on ability level, to play four or five 20 minute rounds, rotating after each round. Awards for first, and second and third place finishers will be presented at the Closing Reception on Saturday evening. (Date: October 19, 2017, Time: 4:30 - 7:00 pm, Location: Tennis Center)

**MICROBREWERY TOUR.** This microbrewery bus tour follows on the acclaim of last year's whirlwind tour in San Diego. The first stop will be Bristol Brewing Company and The Axe and Oak Whiskey House and Distillery at the world famous Ivywild School complex in Colorado Springs. From there, the bus will take a tour through the Garden of the Gods for some sightseeing of this most unique geologic formation and National Natural Landmark. The final stop will be yet another unique Colorado microbrewery, Trinity Brewing Company, then returning to the Broadmoor by 7:30 for the Opening Reception. This event is sponsored by the Law Offices of Timothy J. O'Connor & David Keogh of DJK Consulting. (Date: October 19, 2017, Time: 4:30 - 7:30 pm, limited to first 55 registrants).



**PIABA GOLF TOURNAMENT.** Set in the Cheyenne Mountain foothills of Colorado Springs, The Broadmoor Golf Club is consistently ranked among the best in the world. The three iconic courses were designed by some of golf's greatest names, and have played host to national tournaments, including the U.S. Women's Open and PGA Cup Matches. (Date: October 20, 2017, Time: 12:30 - 6:00 pm, Location: Golf Course)

**BERNSTEIN NON-GOLF ADVENTURE.** See Colorado's famous Garden of the Gods. This is a bit less remote and rugged and a bit easier than our norm, but the rock formations are so spectacular that they are not to be missed. Our loop hike will be either three or six miles long, depending on whether you decide to bear left or straight at a fork that's about a mile and a half in. What a bummer it would be to come all the way to Colorado Springs and miss this! (Date: October 20, 2017, Time: 12:30 - 6:00 pm, Location: Lobby)



# PIABA President's Dinner and

# The PIABA Foundation Casino Night and Auctions

## 2017 PIABA Annual Meeting Sponsors

### Annual Meeting Sponsors

#### Microbrewery Tour

Law Offices of Timothy J. O'Connor and  
David Keogh of DJK Consulting

#### Meeting Bag Sponsor (\$500)

Kathy Adams  
Dispute Resolution Services

#### Mini Notepad Sponsor (\$500)

Alan Besnoff  
Securities Expert Witness &  
Litigation Support, LLC

#### Large Notepad Sponsor (\$500)

David Tilkin  
The Tilkin Group

#### Sticky Note Sponsor (\$500)

Carole Aragon  
Aragon Mediation

#### Meeting App Sponsor (\$200)

Michael Pysno  
Sententia

## 2017 Event Sponsors

### Golf Tournament(\$200)

Howard S. Eilen

Aidikoff Uhl & Bakhtiari

Johnson Pope Bokor  
Ruppel & Jones, LLP

Kraus & Zuchlewski, LLP

Meyer Wilson Co., LPA

The Law Offices of  
Scot D. Bernstein

Robin & Jim Ringo

### Tennis Tournament(\$200)

To sponsor the 2017 PIABA Annual Meeting  
or Event, contact Robin Ringo at  
(888) 621-7484 or [piaba@piaba.org](mailto:piaba@piaba.org)

The PIABA and PIABA Foundation Directors  
cordially invite you to attend the  
PIABA President's Dinner followed by  
The PIABA Foundation  
Casino Night and Auctions.

### Schedule of Events

Friday, October 20, 2017

Check-in.....	6:10 pm
Reception .....	6:30 pm
President's Dinner.....	7:00 pm
Awards Presentation .....	7:45 pm
Live Auction .....	8:30 pm
Casino Night .....	9:00 pm
Silent Auction Announcements.....	11:45 pm

*The Silent Auction will run throughout the evening.*

## The PIABA Foundation 2017 Casino Night Sponsors

### Corporate Sponsors

#### Blackjack (\$1,000)

David P. Meyer  
The Doss Firm  
The Frankowski Firm, LLC

### Table Sponsors

#### Poker (\$500)

Israels & Neuman

#### Craps (\$250)

The Professors  
Christine Lazaro  
Teresa Verges  
Nicole Iannarone  
Elissa Germaine  
Benjamin Edwards

#### Roulette (\$100)

#### Slots (\$50)



### Event Sponsors

#### Music (\$500)

Scott C. Ilgenfritz

#### Dance Floor (\$500)

#### Jackpot (\$500)



To sponsor the 2017 Casino Night  
contact Robin Ringo at  
(888) 621-7484 or [piaba@piaba.org](mailto:piaba@piaba.org)



Fla. - A copy of the official registration and financial information for organization CH39650 may be obtained from the division of consumer services by calling toll-free within the state 1-800-help-fla (435-7352) or at [www.floridaconsumerhelp.com](http://www.floridaconsumerhelp.com). Registration does not imply endorsement, approval, or recommendation by the state. 100% of your donation is received by this organization.

## Casino Night Sponsor and Auction Item Contributions

The PIABA Foundation is accepting 2017 Casino Night Sponsors and Auction Item contributions. To sponsor a Table or Event or contribute an item to the Auctions, contact Robin Ringo, (888) 621-7484 for assistance.

### Casino Night Sponsor benefits include

- Corporate and Individual Table Sponsors may elect to sit at their table during the evening to visit with registrants as they play through the night.

- Recognition signage during the event, "this table or event sponsored by . . ."

- Recognition as an event Sponsor or Auction Item Contributor on the PIABA App, pre-Meeting power point show, and/or other signage displayed during Annual Meeting events.

- PIABA Foundation thank you advertisement in the 2018 PIABA Membership Directory.

- Additional Raffle Tickets
  - Blackjack Sponsors, 12
  - Poker High Roller Sponsors, 10
  - Craps Sponsors, 7
  - Craps Sponsors, 7
  - Roulette OR , 5
  - Slots, 3

### Auction Item Contributor benefits include -

- Recognition signage during the event, "this item sponsored by . . ."

- Recognition as an Auction Item Contributor on the PIABA App, pre-Meeting power point show, and/or other signage displayed during Annual Meeting events.

- PIABA Foundation thank you advertisement in the 2018 PIABA Membership Directory.

- Ten (10) additional Raffle Tickets

# Auction Items



## LIVE AUCTION



▲ **One week in a private home at the Greenbrier Resort, White Sulphur Springs, WV.** *Courtesy of*

*David P. Meyer, OH*

▼ **Houston Rockets Experience.** *Courtesy of Shepherd, Smith, Edwards and Kantas, LLC, TX*



One week stay at Villa Boda in Lo De Marcos, Nayarit, Mexico. *Courtesy of Jon Furgison, CA*

▶ **Pappy Van Winkle – 15 year.** *Courtesy of David P. Meyer, OH*



## Silent Auction

**CLASSIC TRUFFLE COLLECTION (16 pc.), MOONSTRUCK CHOCOLATE, CO.** Handcrafted gourmet chocolates and truffles made in Portland, Oregon. *Courtesy of Christine Lazaro, NY and Michael Edmiston, CA.*

**AMAZON ECHO.** Echo connects to the Alexa Voice Service to control smart home devices, play music, provide information, news, sports scores, weather, and more-instantly. All you have to do is ask. *Courtesy of Hugh D. Berkson, OH.*

**FITBIT CHARGE 2.** This heart rate & fitness wristband automatically tracks all-day activity, sleep and exercise. *Courtesy of Robin S. Ringo, OK.*

**OREGON CRAFT BREWERS TRUFFLE COLLECTION (12 pc.), MOONSTRUCK CHOCOLATE, CO.** NEW! Their Master Chocolatier has teamed up with the original craft beer pioneers to develop a rich, full-bodied truffle collection. *Courtesy of Christine Lazaro, NY and Michael Edmiston, CA.*

**ROKU STREAMING STICK.** This device provides more than 2,500 channels on demand and features more than 300,000 movies and TV episodes. Control the Roku Streaming Stick with the included remote or with your smartphone via the Roku Mobile App. *Courtesy of Hugh D. Berkson, OH.*

**DOONEY & BOURKE HELENA SHOPPER TOTE IN WINE.** This tote presents you with a classic silhouette that's stylish, but also functional enough to store everything you need to carry with you in your busy on-the-go life. *Courtesy of Robin S. Ringo, OK.*

**OFFICE PRINTER.** Gently used office printer. *Courtesy of PIABA, OK.*

**MOSCOW MULE BAR SET.** Everything you need to make the perfect Moscow Mule from the comfort of your home. *Courtesy of Robin S. Ringo, OK.*

**JUNIORS CHEESECAKE.** *Courtesy of Christine Lazaro, NY and Teresa Verges, FL.*

**TASTE THE VODKA RAINBOW.** Imagine the drinks you can make with the different flavored vodkas. The possibilities are endless, but recipes are included! *Courtesy of Robin S. Ringo and Tiffany Zachary, OK*

**NINTENDO 2DS XL.** Step up to XL screens in a lightweight, go-anywhere system. Gamers of all ages can play in style with the New Nintendo 2DS XL system. *Courtesy of Robin S. Ringo, OK.*

**BEER BASKET.** Sampler includes twelve different bottles of Craft Brews. *Courtesy of Christine Lazaro, NY and David P. Neuman, WA.*

**BOSE SOUNDSPORT WIRELESS HEADPHONES.** With no wires in the way, these wireless headphones keep you moving with powerful audio and earbuds that stay secure and comfortable. *Courtesy of Robin Ringo, OK.*

**LOS ANGELES DODGERS BASEBALL GAME AND DINNER.** Two Tickets to a 2018 game and dinner with Jonathan and Jo Anne. *Courtesy of Jonathan Evans, Studio City, CA*

The Casino Night Auction Item list is updated daily. For a complete list and description of all Auction Items, visit [am.piaba.org](http://am.piaba.org). Contributions to The PIABA Foundation may or may not be tax deductible. Donors are encouraged to consult with their accountant or tax attorney for further guidance.



# 2017 PIABA Meeting EVENT Registration Form

Complete this form to register for the PIABA  
Events listed below. Please type or print clearly.

Registrant Name: \_\_\_\_\_

Guest Name: \_\_\_\_\_

Cell: \_\_\_\_\_

Cell: \_\_\_\_\_

Email: \_\_\_\_\_

Email: \_\_\_\_\_

## PIABA GUEST BREAKFAST *(do not register if attending meetings)*

Whether you are a veteran Annual Meeting Guest or new to this years meeting, you are invited to join the PIABA Guest Breakfast. This is your opportunity to see old friends and make new ones! All registered guests are welcome to attend. There will be prizes, but you must be present to win! (Date: October 19, 2017, Time: TBA, Location: TBA)

- Full Guest Registrant - *no charge; included in registration fee*  
 Non-Registered Guest, \$50

## PIABA TENNIS TOURNAMENT

Following a short warm-up session, the Club Pro will pair players, based on ability level, to play four or five 20 minute rounds, rotating after each round. Awards for first, and second and third place finishers will be presented at the Closing Reception on Saturday evening. (Date: October 19, 2017, Time: 4:30 pm – 7:00 pm, Location: Tennis Center)

Player 1: \_\_\_\_\_

- Beginner  Experienced, \$75  Racquet Rental, \$10

Player 2: \_\_\_\_\_

- Beginner  Experienced, \$75  Racquet Rental, \$10

## PIABA NEW MEMBER BREAKFAST

New to PIABA? We invite you to meet the Board of Directors and Committee Chairs to learn more about the Association. Registration is not required; open to all members joining PIABA between January 1, 2016 - October 18, 2017. (Date: October 19, 2017; Time: 7:30 am - 8:45 am; Location: TBA)

## PIABA 26TH ANNUAL GOLF TOURNAMENT

Set in the Cheyenne Mountain foothills of Colorado Springs, The Broadmoor Golf Club is consistently ranked among the best in the world. The three iconic courses were designed by some of golf's greatest names, and have played host to national tournaments, including the U.S. Women's Open and PGA Cup Matches. (Date: October 20, 2017, Time: 12:30 pm – 6:00 pm, Location: Mountain Course)

Player 1: \_\_\_\_\_, \$250 Handicap \_\_\_\_\_  
Club Rental:  Left  Right \$ 75

Player 2: \_\_\_\_\_, \$250 Handicap \_\_\_\_\_  
Club Rental:  Left  Right \$ 75

Requested Foursome:

\_\_\_\_\_  
\_\_\_\_\_

## BERNSTEIN NON-GOLF ADVENTURE

See Colorado's famous Garden of the Gods. This is a bit less remote and rugged and a bit easier than our norm, but the rock formations are so spectacular that they are not to be missed. Our loop hike will be either three or six miles long, depending on whether you decide to bear left or straight at a fork that's about a mile and a half in. What a bummer it would be to come all the way to Colorado Springs and miss this! (Date: October 20, 2017, Time: 12:30 pm – 6:00 pm, Location: Lobby)

Participant 1: \_\_\_\_\_

Participant 2: \_\_\_\_\_

## MICROBREWERY TOUR

The microbrewery bus tour follows on the acclaim of last year's whirlwind tour in San Diego. The first stop will be *Bristol Brewing Company and The Axe and Oak Whiskey House and Distillery* at the world famous Ivywild School complex in Colorado Springs. From there, the bus will take a tour through the Garden of the Gods for some sightseeing of this most unique geologic formation and National Natural Landmark. The final stop will be yet another unique Colorado microbrewery, *Trinity Brewing Company*. Registrants will return to the Broadmoor by 7:30 for the Opening Reception. Sponsored by the Law Offices of Timothy J. O'Connor and David Keogh of DJK Consulting. (Date: October 19, 2017, Time: 4:30 pm - 7:30 pm; limited to first 55 registrants).

Participant 1: \_\_\_\_\_

Participant 2: \_\_\_\_\_

## Payment Information

- Visa  MasterCard  Amex  Discover  Check

Name on Card \_\_\_\_\_

Card Number \_\_\_\_\_ Expiration Date \_\_\_\_\_ V-Code \_\_\_\_\_

Billing Address \_\_\_\_\_

Billing Zip Code \_\_\_\_\_

Cardholder's Signature \_\_\_\_\_

# 2017 PIABA Meeting Registration Form

Please type or print clearly

Name: \_\_\_\_\_

Firm: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

Phone: \_\_\_\_\_

Cell: \_\_\_\_\_

Email: \_\_\_\_\_

Guest Name: \_\_\_\_\_

Guest Email: \_\_\_\_\_

**REGISTRATION DEADLINE SEPTEMBER 11, 2017**

## Continuing Education

In general, registrants may expect to receive six (6) hours\* of CLE credit, including one (1) hour of ethics for Securities Law, and 12-14 hours\* of CLE credit, including one (1) hour of ethics for the Annual Meeting. Registrants requiring professional credit should contact PIABA for information and assistance. (\*estimates only)

At a minimum, PIABA will apply for continuing education accreditation for the following states. Alabama, Arizona, Arkansas, California, Colorado, Florida, Georgia, Idaho, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maine, Minnesota, Missouri, Mississippi, Montana, Nevada, New Jersey, New York, North Carolina, Ohio, Oklahoma, Oregon, Pennsylvania, Tennessee, South Carolina, Texas, Utah, Virginia, Washington, Wisconsin, Wyoming

State Bar Number(s): \_\_\_\_\_

## Registration Fees:

Annual Meeting (All prices are in U.S. dollars)	On or Before 09/11/2017	On or After 09/12/2017
PIABA Member	<input type="checkbox"/> \$1,400	<input type="checkbox"/> \$1,600
Expert, Mediator	<input type="checkbox"/> \$1,650	<input type="checkbox"/> \$1,850
Non-Member	<input type="checkbox"/> \$2,050	<input type="checkbox"/> \$2,250
Paralegal Member/Student	<input type="checkbox"/> \$ 850	<input type="checkbox"/> \$1,050
NASAA	<input type="checkbox"/> \$ 850	<input type="checkbox"/> \$1,050
Regulator	<input type="checkbox"/> \$ 850	<input type="checkbox"/> \$1,050
Educator (FT Faculty)	<input type="checkbox"/> \$ 800	<input type="checkbox"/> \$1,000
Guest	<input type="checkbox"/> \$ 625	<input type="checkbox"/> \$ 825
Securities Law Seminar With Annual Meeting	<input type="checkbox"/> \$ 350	<input type="checkbox"/> \$ 550
Without Annual Meeting	<input type="checkbox"/> \$ 450	<input type="checkbox"/> \$ 650
<b>Total Amount Due:</b>	_____	_____

## Additional Information:

### Special Dietary Requirements:

Kosher    Fish/Chicken    Vegan    Other \_\_\_\_\_

### Event Sponsorships:

Please contact me, I am interested in:

- Sponsoring a **PIABA Meeting Event**
- Sponsoring the **PIABA President's Dinner**
- Sponsoring **Casino Night**
- Contributing an **Auction item**

### Registrant Contact Information:

Please OMIT my contact information from the registration list.

## Meeting Registration Information

Please complete one form per meeting registrant. Register online at [www.piaba.org](http://www.piaba.org) or complete and return the enclosed form to:

PIABA Annual Meeting  
2415A Wilcox Dr., Norman, OK 73069  
Fax: (405) 360-2063

### Meeting Registration Cancellation/Refund

Cancellations received in writing by PIABA on or before September 11, 2017 will receive a full refund less a \$200 per person processing fee. No refunds will be issued for cancellations received on or after September 12, 2017.

### Annual Meeting and Securities Law Written Materials

Individuals unable to attend the PIABA Annual Meeting or Securities Law Seminar may purchase the written materials by completing the Written Materials Order Form at [www.piaba.org](http://www.piaba.org). On or before October 13, 2017, the meeting materials will be available for download (only).

*Audio and video taping of conference events, general sessions and break-outs is strictly prohibited. PIABA reserves the right to change meeting sessions and speakers at any time for any reason. PIABA further reserves the right to restrict attendance at any meeting session.*

## Payment Information

Visa    MasterCard    Amex    Discover    Check

Name on Card \_\_\_\_\_

Card Number \_\_\_\_\_ Expiration Date \_\_\_\_\_ V-Code \_\_\_\_\_

Billing Address \_\_\_\_\_

Billing Zip Code \_\_\_\_\_

Cardholder's Signature \_\_\_\_\_

# 2017 PIABA Meeting Hotel Reservation Form Please type or print clearly

**RESERVATION DEADLINE SEPTEMBER 11, 2017**

Name: \_\_\_\_\_

Firm: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

City/State/Zip: \_\_\_\_\_

Phone: \_\_\_\_\_

Cell: \_\_\_\_\_

Email: \_\_\_\_\_

No. in Party: \_\_\_\_\_

Sharing with: \_\_\_\_\_  
\_\_\_\_\_

Arrival Date: \_\_\_\_\_

Departure Date: \_\_\_\_\_

The Broadmoor is the 2017 PIABA Annual Meeting host hotel. Room rates begin at \$279 for king or double/double rooms. Room requests will be confirmed on a space available basis at the available rate. Once the room block is sold out, PIABA will maintain a waitlist based on date and time of request as *received in writing*.

Rooms and rates are subject to limited availability. Applicable taxes are currently 9.63% room tax and 2.25% public improvement fee. The resort fee is \$20, and includes daily newspaper, wi-fi internet access in guest room, coffee maker in guest room with quality brand coffee & teas, in-room internet, gym and participation in all fitness classes, twice daily housekeeping services and local telephone calls.

Please reserve my room as indicated:

All room reservations will be confirmed per the room type and rate available at time of reservations.

- |  |       |
|--|-------|
| <input type="checkbox"/> Premier                   | \$279 |
| <input type="checkbox"/> Suite w/o separate Parlor | \$399 |
| <input type="checkbox"/> 1 bedroom suite w/ Parlor | \$499 |

Special requests:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## Hotel Reservation Information

Please complete one form per hotel room. Reserve online at [www.piaba.org](http://www.piaba.org) or complete and return the enclosed form to:

PIABA Annual Meeting  
2415A Wilcox Dr.  
Norman, OK 73069  
Fax: (405)360-2063

### Hotel Reservations

Rooms are available for meeting attendees starting at \$279. Meeting rates are not guaranteed to be available after September 11, 2017. Convention rates are subject to limited availability and city and state taxes. All hotel reservations shall be coordinated by PIABA. All reservations must be received by September 11th to insure a reservation at the convention rate. The hotel reserves the right to charge the market price for rooms that are booked after the cutoff date.

### Hotel Confirmations

Confirmation of requested date(s) depends upon room availability at the time the request is received. Confirmations will indicate the exact date(s) of your reservation. A one-night deposit may be charged in August 2017, and shall serve to confirm the reservation for the date(s) indicated. The deposit will be applied to the final night of the confirmed reservation.

### Hotel Reservation Cancellation/Change Policy

All hotel reservation cancellation and/or change requests must be received *in writing by PIABA* on or before September 11, 2017. Cancellation and/or change requests may be sent via mail, email or fax. Registrants remain responsible for the payment of all hotel charges for the initial reservation period for cancellation or change requests received on or after September 12, 2017. Further, you hereby authorize PIABA to charge your credit card for any hotel charges that may be incurred by PIABA in connection with the cancellation and/or change after the September 11, 2017 deadline. No shows will be charged in full for the dates of reservation.

## Payment Information

Visa       MasterCard       Amex       Discover

Name on Card \_\_\_\_\_

Card Number \_\_\_\_\_ Expiration Date \_\_\_\_\_ V-Code \_\_\_\_\_

Billing Address \_\_\_\_\_

Billing Zip Code \_\_\_\_\_

I hereby authorize PIABA to reserve a room for the PIABA Annual Meeting to the credit card provided. Further, I hereby authorize PIABA to charge my credit card for any hotel charges that may be incurred in connection with the cancellation, late arrival and/or early departure policies as stated herein.

Cardholder's Signature \_\_\_\_\_

*Announcing*  
**KEYNOTE SPEAKER**

2017 PIABA Annual Meeting

*Ralph S. Janvey*

Krage & Janvey, LLP

Dallas, Texas



Ralph S. Janvey is the managing partner of Krage & Janvey, L.L.P. in Dallas, Texas. Prior to joining Krage & Janvey, L.L.P. in 1980, Mr. Janvey served as a Staff Attorney and, eventually, the Assistant Director of Securities for the United States Comptroller of the Currency in Washington, D.C. he is currently the receiver of the Stanford Financial Receivership.

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2017 PIABA Annual Meeting  
2415 A Wilcox Drive  
Norman OK 73069