

FORM 3

Amended

\$ 33.75 \$ 34.75

Utah State Board of CONTINUING LEGAL EDUCATION Utah Law and Justice Center 645 South 200 East Salt Lake City, Utah 84111-3834 Telephone (801)531-9077 Fax (801) 531-0660

APPLICATION BY NON-APPROVED SPONSOR FOR ACCREDITATION OF A CLE ACTIVITY

Please Note: The program must deal with subject matter directly related to the practice of law

This form must be submitted within 60 days prior to or following the course.

- 1. Name of CLE Sponsor: Public Investors Arbitration Bar Association "PIABA"
2. Name of Contact Person: Robin S. Ringo
3. Telephone: (405) 360-8776
Address: 2415 A Wilcox Drive Norman, OK 73069

E-mail: rsringo@piaba.org

- 4. Date(s): October 22, 2014
5. Title of CLE activity: PIABA Securities Law Seminar (2014)

- 6. Method(s) of Presentation:
[X] Faculty in Room with Participants
[ ] Interactive Video
[ ] Audio Presentation
[ ] Internet On- Demand
[ ] Telephone to Broadcast Site
[ ] Satellite
[ ] Videotape Presentation
[X] Discussion Leader Present
[ ] Web Cast
[ ] Other:

7. Location(s): La Quinta Resort & Spa La Quinta, CA

8. Course registration fee(s): \$ 350.00 Expected or actual Attendance 60

9. The Sponsor's calculation of the requested number of (a) Total Credit Hours and (b) Portion of the Total Credit Hours devoted to Ethics/Professional Responsibility (c) Portion of Total Credit Hours devoted to Professionalism & Civility:
(a) Total Credit Hours 6.5 (b) Ethics/Professional Responsibility Hours 1 (c) Professionalism & Civility Please evaluate
Ethics hours are included in Total Credit Hours.

10. Is this seminar made available to all attorneys in the state of Utah? Yes [X] No [ ]. If not, state why it is beneficial to limit the attorneys who may attend.

11. Is your organization accredited for CLE in other states? Yes [ ] No [ ]
Please specify which states Applied 24 approved by 24

12. The required course approval fee is computed as follows; \$25.00 accreditation fee per application. \$1.50 per credit hour per attendee, the \$1.50 fee will cap at \$15.00 per attendee and shall be submitted no more than 60 days following the date of the activity. (The course approval fee shall be waived for CLE activities for which no charge is made.)

13. The Sponsor agrees to submit to the Utah State Board of CLE within 60 days following this activity an alphabetical list of Utah attendees including the name and State Bar Membership number, and or attendance information in a computerized format to be prescribed by the Board.

- 14. Submit with this Application the following information:
a. Time Schedule/ agenda (Brochure, Outline, Description)
b. Table of Contents
c. Faculty Description

- 15. The sponsor represents that it will:
a. Comply with the Rules and Regulations of the Utah State Board of CLE, including any amendments thereto;
b. Conduct this CLE activity substantially as advertised and presented in this application, subject to any emergency substitutions and withdraws.
c. Allow in-person observation by the justices of the Utah Supreme Court and members of the Utah MCLE Board & staff;
The sponsor acknowledges that this activity may be disapproved and prior approval of any CLE activity revoked for non-compliance with the Rules and Regulations, and amendments thereto, or for failure to comply with the agreements and representations contained in this request.

NOTICE OF DECISION

(To be completed by the state accreditation office and returned to applicant)

The following action has been taken on this application.

[X] APPROVED for 6.5 CLE Credits, including 1.0 Ethic Credits, 0 Professionalism & Civility

[ ] ACCREDITATION DENIED. Reference

[ ] RETURNED for more information. Please complete each item on this form indicated by the number(s) circled below: 1 2 3 4 5 6 7 8 9 10 11 12 13

[ ] REFERRED to CLE regulatory meeting on / /

[ ] Please see attached materials. Date 12.16.14 CLE Staff

Registration List Attached