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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 Email mcle@utahbar.org

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 Assoc. 'PIABA'
2. Name of Contact Person: Robin S. Ringo
3. Telephone: (405) 360-8776
4. Address: 2415 A Wilcox Drive Norman, OK 73069
5. Email: rsringo@piaba.org

6. Title of CLE activity: Fundamentals of Securities Arbitration Case Intake, Preparation and Management For Attorneys and Other Legal Professionals
7. Date(s): April 28, 2016 Location(s): Norman, OK

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

9. Course registration fee(s): \$ 95 Expected or actual Attendance: 60+

10. The Sponsor's calculation of the requested number of (a) Total Credit Hours (b) Portion of Total Credit Hours devoted to Ethics/Professional Responsibility (c) Portion of Total Credit Hours devoted to Professionalism & Civility
(a) Total Credit Hours: 1.75 (b) Ethics/Professional Responsibility: (c) Professionalism & Civility:

10. Is this seminar made available to all attorneys in the state of Utah? Yes No X If not, state why it is beneficial to limit the attorneys who may attend. SPECIFIC AREA OF PRACTICE - NOT BENEFICIAL TO ATTORNEYS NOT PRACTICING THIS AREA OF LAW.

11. Is your organization accredited for CLE in other states? Yes X No Please specify which states

12. The required course approval fee is computed as follows; \$25 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.

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 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.

G APPROVED for 1.5 CLE Credits Including 2 Ethics credits, 0 Professionalism & Civility

G ACCREDITATION DENIED. Reference

G 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

G REFERRED to CLE regulatory meeting on / /

G Please see attached materials. Date 4.21.16 CLE Staff

Self Study cle credit only

Date: March 10, 2016 CLE Sponsor: Public Investors Arbitration Bar Association 'PIABA'

By: Robin S. Ringo Title: Executive Director