

# 2022 PIABA Securities Law Seminar Agenda

Indicates speaker is approved to be invited

Day 1				Tuesday, October 25, 2022
Pacific	Mountain	Central	Eastern	
9:00 – 9:30	10:00 – 10:30	11:00 – 11:30	12:00 – 12:30	<b>Case Law Roundup</b> , Scott Eichhorn, Rick Geller
9:30 – 9:40	10:30 – 10:40	11:30 – 11:40	12:30 – 12:40	Break
9:40 – 10:55	10:40 – 11:55	11:40 – 12:55	12:40 – 1:55	<b>What's So Special About SPACs?</b> Christine Lazaro, Moderator
10:55 – 11:05	11:55 – 12:05	12:55 – 1:05	1:55 – 2:05	Break
11:05 – 12:20	12:05 – 1:20	1:05 – 2:20	2:05 – 3:20	<b>Cryptocurrency and Digital Assets</b> , William A. Jacobson, Moderator
12:20 – 12:30	1:20 – 1:30	2:20 – 2:30	3:20 – 3:30	Break
12:30 – 1:30	1:30 – 2:30	2:30 – 3:30	3:30 – 4:30	<b>Emerging Ethical Issues</b> , Nicole Iannarone
1:30 – 1:40	2:30 – 2:40	3:30 – 3:40	4:30 – 4:40	Break
1:40 – 2:40	2:40 – 3:40	3:40 – 4:40	4:40 – 5:40	<b>Developments in Gamification and Recreational Investing</b> , Elissa Germaine and Melanie Cherdack, Moderators
2:40 – 3:30	3:40 – 4:30	4:40 – 5:30	5:40 – 6:30	Networking Reception, <i>if host is identified</i>
		2:00 – 5:30		<b>Office Registration</b>

**Session Descriptions** (eastern time denoted; Moderators, Speakers and Session Descriptions subject to change)

**SLO1 Case Law Roundup**, Scott Eichhorn, Rick Geller. Discussion of selected cases in 2022 involving arbitration, securities law, and related issues commonly found in securities arbitration practice.

**SLO2 What's So Special About SPACs?** Christine Lazaro, Moderator

**SLO3 Cryptocurrency and Digital Assets**, William A. Jacobson, Moderator. This panel will provide an overview of the emergence and current status of digital assets, primarily cryptocurrencies, cryptosecurities, and crypto-deposits, with a focus on the current and emerging regulatory landscape, and what the regulatory environment is likely to look like in the next few years.

**SLO4 Emerging Ethical Issues**, Nicole Iannarone

**SLO5 Developments in Gamification and Recreational Investing**, Elissa Germaine and Melanie Cherdack, Moderators

# 2022 PIABA Annual Meeting Agenda

Day 2				Wednesday, October 26, 2022
Pacific	Mountain	Central	Eastern	
		8:45 – 10:00		Breakfast
7:55 – 8:00	8:55 – 9:00	9:55 – 10:00	10:55 – 11:00	<b>President's Welcome</b> , Michael Edmiston
8:00 – 9:00	9:00 – 10:00	10:00 – 11:00	11:00 – 12:00	<b>P1 - Review of FINRA DR Activities and Developments in 2022</b> , Michael Edmiston, Moderator; Richard Berry
9:00 – 9:10	10:00 – 10:10	11:00 – 11:10	12:00 – 12:10	Break
9:10 – 10:10	10:10 – 11:10	11:10 – 12:10	12:10 – 1:10	<b>BO1 Crypto, Bitcoin, Crypto Currency and Outside Business Activities</b> , Jorge Riera, Moderator
				<b>BO2 Bankruptcy Topics</b> , Albert Copeland, Moderator
				<b>BO3 Non-Account Holder Selling Away Cases</b> , Joe Wojciechowski, Moderator
10:10 – 10:40	11:10 – 11:40	12:10 – 12:40	1:10 – 1:40	Luncheon (Newbie Luncheon Table)
10:40 – 11:25	11:40 – 12:25	12:40 – 1:25	1:40 – 2:25	<b>Business Meeting</b> , Michael Edmiston, Hugh Berkson, Robin Ringo
11:25 – 11:35	12:25 – 12:35	1:25 – 1:35	2:25 – 2:35	Break
11:35 – 12:35	12:35 – 1:35	1:35 – 2:35	2:35 – 3:35	<b>BO4 Coverage Disputes</b> , Jeff Sonn, Moderator
				<b>BO5 An Ethical Review of Representing Estates, Trusts, or Beneficiaries after the Account Holder's Death</b> , Debra Speyer, Moderator
				<b>BO6 Valuations of Private Investments</b> , Patti Vannoy, Moderator
12:35 – 12:45	1:35 – 1:45	2:35 – 2:45	3:35 – 3:45	Break
12:45 – 1:45	1:45 – 2:45	2:45 – 3:45	3:45 – 4:45	<b>P2 - Wisdom of the Crowd</b> , Sean Sweeney, Moderator
1:50 – 2:30	2:50 – 3:30	3:50 – 4:30	4:50 – 5:30	Networking Reception
		8:30 – 12:00 1:15 – 3:15		<b>Office Registration</b>
		4:15 – 7:00		<b>Tennis Tournament</b>
		7:30 – 9:00		<b>Opening Reception</b>

**Session Descriptions** (eastern time denoted; Moderators, Speakers and Session Descriptions subject to change)

\*closed – sessions denoted as closed are open to PIABA members only

**P1. Review of FINRA DR Activities and Developments in 2021.** Mike Edmiston, Moderator; Richard Berry, ??, ?? (10:00 am - 11:00 am). Discussions include FINRA arbitration issues, approved rule changes, and rule proposals.

**P2. Wisdom of the Crowd**, Sean Sweeney, Moderator

**BO1. Crypto, Bitcoin, Crypto Currency and Outside Business Activities**, Jorge Riera, Moderator

**BO2. Bankruptcy Topics**, Albert Copeland, Moderator

**BO3. Non-Account Holder Selling Away Cases**, Joe Wojciechowski, Moderator

**BO4. Coverage Disputes**, Jeff Sonn, Moderator; David Anderson

**BO5. An Ethical Review of Representing Estates, Trusts, or Beneficiaries after the Account Holder's Death**, Debra Speyer, Moderator

**BO6. Valuations of Private Investments**, Patti Vannoy, Moderator

Day 3				Thursday, October 27, 2022
Pacific	Mountain	Central	Eastern	
		7:45 – 9:00		Breakfast
6:55 – 7:00	7:55 – 8:00	8:55 – 9:00	9:55 – 10:00	Meeting Chair Welcome, Adam Gana
7:00 – 8:00	8:00 – 9:00	9:00 – 10:00	10:00 – 11:00	<b>BO10 Advocating for Securities Law Policy Positions</b> , Michael Edmiston, Moderator
				<b>BO11 How to Avoid Ethics Pitfalls</b> , Nicole Iannarone
				<b>BO12 Margin Blowout Cases and Securities Based Lending Losses</b> , Dan Miller, Moderator
8:00 – 8:10	9:00 – 9:10	10:00 – 10:10	11:00 – 11:10	Break
8:10 – 9:10	9:10 – 10:10	10:10 – 11:10	11:10 – 12:10	<b>BO7 Cross Examination of an Expert</b> , <i>closed</i> , Scott Greco, Moderator
				<b>BO8 Broker Recommended Covered Call Options Cases</b> , Jenice Malecki, Moderator
				<b>BO9 Suitability of Private Placements and Concentration Issues</b> , Sam Edwards, Moderator
9:10 – 9:20	10:10 – 10:20	11:10 – 11:20	12:10 – 12:20	Break
9:20 – 10:20	10:20 – 11:20	11:20 – 12:20	12:20 – 1:20	<b>P3 Ethical Considerations in Post-Covid Wellness</b> , Angela Hayden, Moderator
10:25 – 11:15	11:25 – 12:15	12:25 – 1:15	1:25 – 2:15	Networking Session
		8:00 – 11:45		<b>PIABA Office</b> ,
				<b>Registrants on their own for Lunch</b>
		12:30 – 5:30		<b>Golf Tournament</b>
		6:15 – 11:45		<b>President's Dinner and Casino Night</b>

**Session Descriptions** (eastern time denoted; Moderators, Speakers and Session Descriptions subject to change)

\*closed – sessions denoted as closed are open to PIABA members only

**P3. Ethical Considerations in Post-Covid Wellness**, Angela Hayden, Moderator

**BO7. Cross Examination of an Expert – How to use their expert to win your arbitration.**, *closed*, Scott Greco, Moderator; Robert Lowry. This break-out session will discuss strategies and techniques to use in cross examination of Respondent Broker-Dealer experts in arbitration, including how to impeach their opinions, and use their testimony to emphasize and prove key elements of Claimants' case. The session will include the following topics: 1. Caselaw on the admissibility of expert opinions that can be used in arbitration. 2. Voir Dire of the expert. 3. A discussion with an expert witness on his experiences with cross-examination and effective techniques. 4. How to impeach the expert's opinions, testimony, and credibility. 5. How to use the opposing expert to establish duties owed by Respondents. 6. How to use the opposing expert to emphasize crucial facts and theories of Claimant's case. 7. A mock cross-exam of an expert with audience feedback and comments.

**BO8. Imbedded Losses in Covered Calls, Options in a Volatile Market - Finding the Invisible Case**, Jenice Malecki, Moderator; Fred Rosenberg. Many lawyers dismiss cases they cannot readily see, but like concentration cases, there are at times hidden actionable losses in many options portfolios. We will go through a step-by-step analysis of how to look for viable option cases, as well as discuss the obligations in brokerage firm options departments focusing on supervision tools used by a registered options principal ("ROP") and maximizing damages.

**BO9. Suitability of Private Placements and Concentration Issues**, Sam Edwards, Moderator

**BO10. Advocating for Securities Law Policy Positions**, Michael Edmiston, Moderator

**BO11. How to Avoid Ethics Pitfalls**, Nicole Iannarone

**BO12. Margin Blowout Cases and Securities Based Lending Losses**, Dan Miller, Moderator

Day 4				<b>Friday, October 28, 2022</b>
Pacific	Mountain	Central	Eastern	<i>*closed – sessions denoted as closed are open to PIABA members only</i>
		8:45 – 10:00		Breakfast
7:55 – 8:00	8:55 – 9:00	9:55 – 10:00	10:55 – 11:00	Meeting Chair Welcome, Courtney Werning
8:00 – 9:00	9:00 – 10:00	10:00 – 11:00	11:00 – 12:00	<b>P4 – Synergies Between Class and Individual FINRA Cases</b> , Birgitta Siegel, Moderator; Carol Villegas, Adam Polk, Elizabeth Kramer
9:00 – 9:10	10:00 – 10:10	11:00 – 11:10	12:00 – 12:10	Break
9:10 – 10:10	10:10 – 11:10	11:10 – 12:10	12:10 – 1:10	<b>P5 – RIA Supervisory Duties: Claims and Resources for RIA Cases</b> , Darlene Pasieczny, Moderator; Lisa Braganca
10:10 – 11:15	11:10 – 12:15	12:10 – 1:15	1:10 – 2:15	Lunch
11:15 – 12:15	12:15 – 1:15	1:15 – 2:15	2:15 – 3:15	<b>P6 Getting Broker-Dealers to Pay Top Dollar</b> , Courtney Werning, Moderator; Jeffrey Grubman
12:15 – 12:25	1:15 – 1:25	2:15 – 2:25	3:15 – 3:25	Break
12:25 – 1:25	1:25 – 2:25	2:25 – 3:25	3:25 – 4:25	<b>P7 – How to Bring Reg BI Cases</b> , Christine Lazaro, Moderator
		8:30 – 12:00 1:00 – 3:30		<b>PIABA Office</b>

**Session Descriptions** (eastern time denoted; Moderators, Speakers and Session Descriptions subject to change)

**P4. Synergies between class and individual FINRA Cases**, Birgitta Siegel, Moderator; Carol Villegas, Adam Polk, Elizabeth Kramer

**P5. RIA Supervisory Duties: Claims and Resources for RIA Cases**, Darlene Pasieczny, Moderator; **Lisa Braganca**;

**P6. Getting Broker-Dealers to Pay Top Dollar**, Courtney Werning, Moderator; *Jeffrey Grubman*

**P7. How to Bring Reg BI Cases**, Christine Lazaro, Moderator