

2022 Mid-Year Meeting Agenda

Thursday, April 21, 2022

Pacific	Mountain	Central	Eastern	
9:00 – 10:00	10:00 – 11:00	11:00 – 12:00	12:00 – 1:00	Financial Elder Abuse – State Civil Claims and Overview of a Financial Elder Abuse Case
10:00 – 10:05	11:00 – 11:05	12:00 – 12:05	1:00 – 1:05	Break
10:05 – 11:05	11:05 – 12:05	12:05 – 1:05	1:05 – 2:05	Compliance, Supervision and Best Interests in Senior Citizen Accounts
11:05 – 11:15	12:05 – 12:15	1:05 – 1:15	2:05 – 2:15	Extended Break
11:15 – 12:15	12:15 – 1:15	1:15 – 2:15	2:15 – 3:15	Dealing with People with Diminished Capacity
12:15 – 12:20	1:15 – 1:20	2:15 – 2:20	3:15 – 3:20	Break
12:20 – 1:20	1:20 – 2:20	2:20 – 3:20	3:20 – 4:20	Economic and Non-Economic Damages in Dealing with FINRA Arbitrations Involving Senior Citizens
1:20 – 1:25	2:20 – 2:25	3:20 – 3:25	4:20 – 4:25	Break
1:25 – 2:25	2:25 – 3:25	3:25 – 4:25	4:25 – 5:25	Strategies and Techniques in Dealing with FINRA Arbitrations Involving Senior Citizens
2:30 – 3:00	3:30 – 4:00	4:30 – 5:00	5:30 – 6:00	Networking Reception

Financial Elder Abuse – State Civil Claims and Overview of a Financial Elder Abuse Case. *Darlene D. Pasieczny*, Moderator; *Robert Port and Richard Szuch*. Many states prioritize protecting seniors and other vulnerable persons from physical and financial abuse. In addition to specific criminal statutes, some states have civil causes of action against certain abusers of seniors and other vulnerable persons often with multiplied economic damages and one-way attorney fee provisions. Sadly, the culprits of financial abuse are more likely to be family members and other caregivers to a senior. Brokers, investment advisors, and other financial professionals can be front line defenders when they report suspected financial exploitation pursuant to FINRA Rule 2165 and corresponding state law adopting NASAA’s Model Act to Protect Vulnerable Adults from Financial Exploitation promulgated in 2015. This panel will discuss generally states that have adopted civil causes of action specific to financial exploitation of seniors, common areas of elder financial abuse reported to adult protective services departments, how a state investigation by protective services or criminal investigation may aid a civil case against an abuser, and considerations when bringing a civil case for financial elder abuse.

Compliance, Supervision and Best Interests in Senior Citizen Accounts. *Courtney Werning*, Moderator; *Jeanette Wingler, Mary Shea Tucker, and Hollie Mason*. Join us to learn how senior citizen cases are different from others in terms of appropriate compliance and supervision. What must brokerage firms and investment advisors do for their elderly customers’ accounts, and what is the standard of care to which brokers and investment advisors are held when dealing with elderly clients? What is the new FINRA Rule 3241 and how does it impact supervisory responsibilities? This panel will provide a diverse industry, regulatory, and expert prospective on these issues.

Dealing with People with Diminished Capacity. *Nicole Iannarone*, Speaker. Understand the legal ethics in dealing with people with diminished capacity. Learn what rules of professional conduct you must understand to properly represent your client.

Economic and Non-Economic Damages in Dealing with FINRA Arbitrations Involving Senior Citizens. *Tom Mauriello*, Moderator; *Frank Fox, Stacey Wood*. While most practitioners understand the economic damages, there are non-economic damages specifically in dealing with senior citizens such as emotional distress. Understand these damages and how to bring these claims in your senior citizen cases. You will walk away from this lecture with the nuts and bolts application of how to bring these type damages.

Strategies and Techniques in Dealing with FINRA Arbitrations Involving Senior Citizens. *Jenice Malecki*, Moderator; *Christine Lazaro, Sandy Grannum*. An experienced panel of PIABA lawyers will delve into strategies and techniques such as client and witness preparation, RIA and broker cross examination, defense firm tactics and arbitration techniques in dealing with senior citizen litigations, and what to take to every arbitration hearing when dealing with senior citizen claims.