

# PIABA *Mid-Year Meeting*

## UNCLE STAN'S RETIREMENT ACCOUNT GOT BLOWN UP ... NOW WHAT?

APRIL 27, 2023

12pm-6pm Eastern

12.00 PM EST  
11.00 AM CST  
10.00 AM MST  
9.00 AM PST

### Strategies and Techniques in Dealing with FINRA arbitrations involving IRA, Pension, and Other Type Retirement Accounts.

*Lance McCardle, Moderator.* An experienced panel of PIABA lawyers will delve into strategies and techniques such as how to plead these type cases in the Statement of Claim, client and witness preparation, RIA and broker cross examination, defense firm tactics and arbitration techniques, and what to take to every arbitration hearing when dealing with these type claims.

1.05 PM EST  
12.05 PM CST  
11.05 AM MST  
10.05 AM PST

### Compliance, Supervision and Suitability in IRA, Pension, and Other Type Retirement Accounts.

Learn how IRA, Pension, and other retirement account cases are different in terms of compliance, supervision, and suitability. Understand the nuances as to broker dealer vs. RIA cases.

2.15 PM EST  
1.15 PM CST  
2.15 PM MST  
11.15 AM PST

### Economic Damages in Dealing with FINRA arbitrations involving IRA, Pension and Other Type Retirement Accounts.

*Thomas D. Mauriello, Moderator; Brian Henderson.* The nature of these type accounts provides for additional economic damages that are different than the non-IRA, Pension, and other type retirement accounts. Additionally, Baby boomers who have the choice of a fixed lifetime pension from their employers are retiring in record number now and brokerage and RIA firms are anxious to grab a piece of that pie perhaps to the detriment of that retiree. How does one address these type claims. Learn the cutting-edge practices in this presentation.

3.20 PM EST  
2.20 PM CST  
1.20 PM MST  
12.20 PM PST

### Non-Economic Damages in Dealing with FINRA arbitrations involving IRA and Pension, and Other Type Retirement Accounts.

There are non-economic damages specifically in dealing with IRA and pension, and other type retirement accounts. Understand these damages and how to bring these types of claims. You will walk away from this lecture with the nuts-and-bolts application of how to plead these cases and bring these type damages.

4.25 PM EST  
3.25 PM CST  
2.25 PM MST  
1.25 PM PST

### Ethics Hour: Dealing with the death or incapacity of your client.

*Debra Speyer, Moderator.* How is your case effected and what are the actions steps to take so that your case can progress smoothly. Learn what rules of professional conduct you must understand to properly represent your client.