

PIABA MID YEAR MEETING: CURRENT ISSUES IN SECURITIES ARBITRATION

THE MAYFLOWER HOTEL, WASHINGTON, DC | MARCH 26, 2020

Register online at piaba.org. From Upcoming Events, select [2020 Mid Year Meeting](#)

General Information

Sponsored by Public Investors Arbitration Bar Association (PIABA), *Current Issues in Securities Arbitration* will be held at The Mayflower Hotel in Washington, DC from 8 am - 5:30 pm on Thursday, March 26, 2020. Although the meeting is open to all individuals, this one-day CLE program is designed for attorneys, paralegals, regulators, educators, experts, consultants, mediators, (securities) arbitrators.

Meeting Registration - register at [Meeting Registration Form](#)

Meeting registration fees for the program are available on the on-line *Meeting Registration Form* and includes all meeting sessions, CLE credit, continental breakfast, luncheon, breaks, closing reception, and written materials. There is not a guest registration fee for this meeting.

Hotel Reservations - reserve at [Hotel Reservation Form](#)

The host hotel for the program is The Mayflower Hotel, 1127 Connecticut Avenue NW, Washington, DC 20036. To receive the group rate of \$289 (plus applicable taxes), hotel reservations must be made through PIABA. The final date to confirm a room at the group rate is February 21, 2020. If the PIABA block sells-out prior to February 21st, rooms will be confirmed on a space available basis at the rate provided by The Mayflower Hotel. Changes or cancellations to hotel reservations must be received in writing in the PIABA Office on or before February 21, 2020. *Please refer to the Hotel Reservation form for hotel reservation no show and cancellation details.*

Continuing Legal Education (CLE)

PIABA will apply for continuing education accreditation in all States where registrants request CLE credit on the Meeting Registration Form. In general, registrants may expect to receive 5-6 hours of credit. PIABA will apply for MCLE credit for individuals registered by February 26, 2020. After that date, PIABA will assist registrants seeking credit for the meetings, but will not be responsible for filing CLE applications or the application fees.

Meeting and Registration Policies

For information regarding Speaker changes, Session Topic revisions, audio and videotaping, and Hardship Policy, visit [Meeting and Registration Policies](#).

MEETING AGENDA

7:30 am - 4:00 pm Meeting Registration
7:30 am - 9:00 am Continental Breakfast
8:00 am - 8:10 am Welcome, Sam Edwards

8:10 am - 9:10 am **Dealing with Broker-Dealer Abusive Practices in Arbitration.** Jason Kane, Peiffer Wolf Carr & Kane, APLC, Pittsford, NY, Moderator; Judson Lee, Judson M. Lee, PLLC, Madison, MS; Stuart Meisner, Meissner Associates, New York, NY. This panel will address how to handle abusive tactics by defense counsel in arbitration, including overcoming meritless objections to the FINRA Discovery Guide List productions and frivolous motions. Hear from experienced attorneys who have obtained sanctions against some of the largest brokerage firms in the country for these abusive tactics.

9:15 am - 10:15 am **Mastering Trial Presentation Technology.** Sam Edwards, Shepherd, Smith, Edwards & Kantas, LLP, Houston, TX; Hugh Berkson, McCarthy, Lebit, Crystal & Liffman, Cleveland, OH. Technology is permeating every aspect of the legal practice - from digital evidence replacing paper to how key components of a case are presented. Become a better, more persuasive attorney through the use of trial technology. This panel will address the benefits and logistics of using technology in the arbitration setting.

10:15 am - 10:30 am Break

10:30 am - 11:30 am **Regulation Best Interest ("Reg BI").** Darlene Pasieczny, Samuels Yoelin Kantor LLP, Portland, OR, Moderator; Christopher Gerold, New Jersey Bureau of Securities Office of the New Jersey Attorney General, Newark, NJ; Joe Savage, VP and Counsel, FINRA Office of Regulatory Analysis, Washington, DC; Miriam Lefkowitz, Chief Legal Officer and Chief Compliance Officer, Seeds Investor LLC, Maplewood, NJ. On June 5, 2019, the SEC adopted Regulation Best Interest ("Reg BI"), which establishes a "best interest" standard of conduct for broker-dealers and associated persons for recommendation of securities and investment strategies. By June 2020, Reg BI will be fully implemented. Implementation will include creating the Form CRS, which firms will use to initially detail the parameters of the customer relationship. Firms must also have policies and procedures in place to ensure their brokers are fully complying with Reg BI requirements. This panel will address Reg BI implementation, from the perspective of the regulators and the industry

11:30 pm - 1:00 pm Luncheon, Keynote Speaker

1:00 pm - 2:00 pm **Financial Elder Abuse.** Lisa Braganca, Braganca Law LLC, Skokie, IL, Moderator; Lisa Bleier, Managing Director and Associate General Counsel, Federal Government Relations at SIFMA, Washington, DC; Jilene Gunther, AARP, Nat. Dir. Of BankSafe, Washington, DC. What federal and state laws, rules, and regulations do brokers have to take into account before reporting potential elder financial exploitation? What new actions can brokers take to respond to potential elder financial exploitation? What kind of things can brokers and investment advisers do to detect potential elder financial exploitation? What is going on at the state and federal level to make detecting and reporting elder financial exploitation easier for brokers and advisers?

2:05 pm - 3:05 pm **Q&A with the Securities Regulators.** Keith Griffin, Griffin Law Firm, LLC, Indianapolis, IN, Moderator; Jordan Thomas, Labaton Sucharow LLP, New York, NY; Terry Reicher, FINRA, Office of General Counsel, New York, NY, Chris Kelly, Senior Vice President, FINRA Enforcement Department, New York, NY. We will hear from regulators and former regulators about their current regulatory investor protection activities. They will answer your questions and address their top regulatory and legislative priorities, significant industry issues, and growing trends.

3:05 pm - 3:25 pm Break

3:25 pm - 4:25 pm **U.S. Economic Outlook: For 2020 and Beyond - What's Next?** Alan Rosca, Goldman Scarlato & Penny PC, Beachwood, OH, Moderator; Brian Henderson, Securities Litigation and Consulting Group, Inc, McLean, VA. Are we nearing the end of the longest bull market in history? Come see what the experts are forecasting for the future and learn about the next wave of investor cases likely to impact our practices. This panel will discuss economic trends and the kinds of investment products we are likely to see in droves when and if we see a sharp market downturn.

4:30 pm - 5:30 pm **The Federal Legislative Process.** Omar Bengali, Girard Bengali, APC, Los Angeles, CA, Moderator; Peter Hyun, Wiley Rein LLP, Washington, DC. How does a bill become a law? Discuss with Peter Hyun, former Chief Counsel to Senator Feinstein the process of congressional bill making, how to identify staff members with influence, and what we can do to lobby the issues most important to our clients. This session will give you all the tools you need to prepare for PIABA's Hill Day and provide a practical guide to effective lobbying of our representatives.

5:30 pm - 6:45 pm Reception

PIABA HILL DAY



March 27, 2020 | Washington, DC

Members are encouraged to participate in PIABA Hill Day as it is an exciting opportunity to meet directly with your Representatives, Senators, and/or their Staffers, to tell your clients' stories, and to potentially affect policy. No one can tell clients' stories better than PIABA Members. We know the harm that has been and will continue to be inflicted on the investing public unless laws and policies are changed. We also see first-hand the results of these harms to our clients, and we understand the intricacies of FINRA Arbitration better than anyone. This is also an excellent chance to meet, socialize, and network with other PIABA members.

What happens during Hill Day? Members, often in groups of two or three, are assigned a series of short (15 minute) meetings with congressional offices. You will be prepared in advance to discuss certain pending legislation, and also educate the office about PIABA's mission and investor protection issues more generally. You will receive written materials prepared by PIABA's Legislative Committee summarizing pending legislation bearing on PIABA's priorities and providing key points to help you in your meetings.

To be best prepared for PIABA Hill Day, participants are encouraged to attend the PIABA Mid-Year Meeting. The last session will include helpful information regarding the legislative process, and best tips on communicating with legislative staff for a more effective meeting. And, as an added bonus, you will receive CLE credit!

Hill Meetings will generally be scheduled on Friday, March 27, 2020, from 9:00 am - 5:00 pm ET. Members participating in PIABA Hill Day will receive their meeting schedules and written materials at the conclusion of the PIABA Mid-Year Meeting. If you are unable to attend the PIABA Mid-Year Meeting, you can pick up your schedule and materials between 7:45 am - 9:00 am at The Mayflower Hotel. It is your responsibility to know your first meeting time and attend all scheduled meetings.

All those participating in Hill Day are invited to a continental breakfast at The Mayflower Hotel. Following the conclusion of the Hill meetings, participants are invited to join the PIABA Board at the Hill Day Reception from 5:30 pm - 7:00 pm at The Mayflower Hotel.

Setting meetings with Representatives, Senators and/or their Staffers is significantly easier if constituents from their state are present for the meetings. As such, it is important for PIABA Staff to know who is participating in Hill Day as early as possible. If you plan to participate in PIABA Hill Day (especially if you do not require a sleeping room), please confirm with Robin Ringo, rsringo@piaba.org, on or before March 1st. Better yet, so that Staff may collect all required information, complete the PIABA Hill Day Registration form.

PIABA Hill Day Registration - register at [Meeting Registration Form](#)

There is not a fee to participate in PIABA Hill Day. Participants are encouraged to attend the breakfast prior to and reception at the Washington Court Hotel following the conclusion of our meetings. Because of the number and varying times of Hill Meetings, PIABA will not provide lunch for participants, but you are encouraged to make lunch plans with your Hill Day partner(s). The Meeting Registration Form requires participants to include their cell phones. It is important that PIABA Staff have your cell phone number so they can notify you of any meeting changes that may occur. *Staff will not call, text or distribute your cell phone number except as necessary to insure you are updated appropriately with regards to Hill Meetings.*

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PIABA will be in touch in mid-March with orientation and Hill Day Meeting details. Until then, we look forward to seeing you in DC! As always, please feel free to contact PIABA Hill Day co-Chairs, Darlene Pasieczny, Brent Burns, and Omar Bengali, PIABA President, Sam Edwards, or Robin Ringo, if you have questions or require further assistance regarding PIABA Hill Day.

To confirm a Hotel Reservation for the PIABA Mid-Year Meeting and/or PIABA Hill Day

go to	PIABA.org (log-in not required)
Select	2020 PIABA Mid-Year Meeting
Select	Hotel Reservation Form (online)
Complete	the Hotel Reservation Form
Select	Submit

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