

**2020 PIABA Securities Law Seminar
And Annual Meeting Agendas**

Tuesday, October 20, 2020

VIRTUALLY ONLY

- 10:00 AM – 10:30 AM **Case Law Roundup**, Scott Eichhorn; Elissa Germaine
- 10:30 AM – 10:35 AM **Break**
- 10:35 AM – 11:50 AM **Life Under Regulation Best Interest**, Christine Lazaro, Moderator; Sandra Grannum, Joe Savage, Christopher Gerold
- 11:50 AM – 12:00 PM **Break**
- 12:00 PM – 1:15 PM **Protecting Seniors and Vulnerable Adults from Financial Exploitation: Legal Developments, State Resources, and Broker-Dealer Best Practices**, Teresa J. Verges, Moderator; Ron Long, Gerri Walsh, Joseph Borg
- 1:15 PM – 1:25 PM **Break**
- 1:25 PM – 2:25 PM **Diminished Capacity? Ethical Representation of Vulnerable Clients**, Nicole Iannarone
- 2:25 PM – 2:30 PM **Break**
- 2:30 PM – 3:30 PM **Whistleblowers: Endangered Canaries or Bounty Hunters?** Ben Edwards, Moderator; Jordan Thomas, Mark Pugsley, Miriam Baer, Melanie DeVoe

Wednesday, October 21, 2020

PLENARY SESSIONS – ROCKY MOUNTAIN CD

BREAKS – ROCKY MOUNTAIN FOYER / TERRACE

- 8:00 AM – 3:00 PM **PIABA Office**
- 8:15 AM – 9:30 AM **Breakfast, Plated** McGrew
West Ballroom A
- 9:30 AM – 9:40 AM **President’s Welcome**, Sam Edwards
- 9:45 AM – 10:45 AM **Review of FINRA DR Activities and Developments in 2020**, Sam Edwards, Moderator; Richard Berry, Laura McNamire
- 10:45 AM - 10:50 AM **Break**
- 10:50 AM – 11:50 AM **Zoom Zoom! How to Win Your Cases in Virtual Arbitration Hearings, (closed)** David Meyer, Moderator; Chet Taylor, Sean Sweeney, David Miller
- 11:50 AM – 12:00 PM **Luncheon, Boxed**- Members pick-up box lunch & return to plenary session
All others may eat on the Terrace
- 12:00 PM – 1:00 PM **PIABA Annual Business Meeting (closed)**, Sam Edwards, David Meyer, Robin Ringo
- 1:00 PM – 1:05 PM **Break**
- 1:05 PM – 2:05 PM **Women in the Profession**, Sara Hanley, Moderator; Jenice Malecki, Marnie Lambert, Kathy Adams, Darlene Pasieczny, Alise Johnson Rocky Mountain CD
- 2:05 PM – 2:10 PM **Break**
- 2:10 PM – 3:10 PM **Breakout 1 – Bankruptcy Topics as They Relate to Arbitration**, Randy Pulman, Moderator; Judge Ronald King, Judge Craig Gargotta Rocky Mountain CD
Breakout 2 – Persuasion Techniques of Federal Trial Lawyers, Lisa Braganca, Moderator; Julie Porter, Steve Feaga Rocky Mountain AB
- 7:30 PM – 7:45 PM **Depart West Drive to The Lodge**
- 8:00 PM – 9:30 PM **Opening Reception**
- 9:30 PM – 10:00 PM **Depart Lodge to West Drive**

Thursday, October 22, 2020**PLENARY SESSIONS – ROCKY MOUNTAIN CD
BREAKS – ROCKY MOUNTAIN FOYER / TERRACE**

| | | |
|---------------------|---|-------------------|
| 8:00 AM – 3:00 PM | PIABA Office | McGrew |
| 8:15 AM – 9:30 AM | Breakfast, Plated | West Ballroom A |
| 9:30 AM – 9:40 AM | Meeting Chair Welcome , Adam Gana | |
| 9:45 AM – 10:45 AM | Trial Tactics , Kirk Smith, Moderator; Jason Doss, Luis Minana, Melanie Cherdack, Ross Intelisano, Brandon Reif | |
| 10:45 AM - 10:50 AM | Break | |
| 10:50 AM – 11:50 AM | Breakout 3 – Secondary & Clearing Firm Liability , Robert Banks, Moderator; Joe Peiffer, Amir Tadjedin | Rocky Mountain AB |
| | Breakout 4 – GPB Cases, (closed) , Jason Kane, Moderator; Kal Nekvasil | Rocky Mountain CD |
| 11:50 AM – 12:50 PM | Luncheon, Plated | Terrace |
| 12:50 PM – 1:50 PM | Broker-Dealer AML Oversight: Red Flags that Should Have Detected Fraud , Glenn Gitomer, Moderator; Sander Ressler, John Foster | |
| 1:50 PM – 2:00 PM | Break | |
| 2:00 PM – 3:00 PM | Breakout 5 – Effect of Court & Regulatory Decisions on Typical Dealers , Robert Girard, Moderator; Adam Gana, Derek Anderson | Rocky Mountain CD |
| | Breakout 6 – Mastering Trial Presentation Technology , Hugh Berkson, Moderator; Laura McNamire, Jeff Abrams, Michael Bixby | Rocky Mountain AB |
| 7:00 PM – 9:00PM | Cocktail Reception and President’s Dinner | Rocky Mountain CD |

Friday, October 23, 2020**PLENARY SESSIONS – ROCKY MOUNTAIN CD
BREAKS – ROCKY MOUNTAIN FOYER / TERRACE**

| | | |
|---------------------|--|------------------------------------|
| 8:00 AM – 3:00 PM | PIABA Office | McGrew |
| 8:15 AM – 9:30 AM | Breakfast, Plated | West Ballroom A |
| 9:30 AM – 9:40 AM | President’s Welcome , David P. Meyer | |
| 9:45 AM – 10:45 AM | Liability Insurance Coverage , Joe Wojciechowski, Moderator; John Burke, Alex Loftus, Ohia Amadi, William Nelson | |
| 10:45 AM - 10:50 AM | Break | |
| 10:50 AM – 11:50 AM | Breakout 7 – Financial Elder Abuse , Ethics, Tom Mauriello, Moderator; Frank Fox, Alan Besnoff | Rocky Mountain CD |
| | Breakout 8 – Discovery Guide Review , Mike Edmiston, Moderator; Laura Dunning, Moshe Singer | Rocky Mountain AB |
| 11:50 AM – 12:50 PM | Luncheon, Plated | Terrace |
| 12:50 PM – 1:50 PM | The Ethics of Witness Preparation , Courtney Werning, Moderator; Stefan Apotheker, William Young, Richard Frankowski, Dave Neuman | |
| 1:50 PM – 2:00 PM | Break | |
| 2:00 PM – 3:00 PM | Breakout 9 – A Primer on Real Estate, Real Estate Fraud, and Fraudulent Transfers Involving Life Insurance , Jeff Sonn, Moderator; Terri Sonn, James Sallah | Rocky Mountain CD |
| | Breakout 10 – The Science of Settlement Success , Angela Hayden, Moderator; Brian Henderson | Rocky Mountain AB |
| 3:30 PM – 6:30 PM | PIABA Board Meeting | Gaylord Boardroom (Broadmoor West) |