



# Annual Securities Law Seminar

October 30, 2009

Friday, October 30, 2009  
Lantz Welch Education Center  
KCMBA Headquarters  
1125 Grand Blvd, Suite 400,  
Kansas City, MO 64106



Sponsored by the Securities Law Committee

### Seminar Information

4.0 CLE Hours in Missouri and Kansas

Perhaps no other area of the law has as many potential changes in store for it. Indeed, the entire structure and responsibility for regulating our financial markets may soon change. Any attorney who has an interest in the financial markets and their regulation, or who represents clients within the securities industry should attend this year's Annual Securities Law Seminar.

12:30 p.m. Registration  
Moderator: Benjamin Prell, Gaddy Geiger & Brown PC

1 p.m. Recent Developments in Securities Law  
**Adam Bold**, *The Mutual Fund Store* - **Perry Brandt**, *Bryan Cave, LLP* - **Tyler Hudson**, *Wagstaff & Cartmell, LLP* - **Matt Kitzi**, *Missouri Securities Commissioner* - **John Miller**, *Swanson Midgley, LLC* & **Jeff Ziesman**, *Financial Industry Regulatory Authority*

This initial panel discussion will cover a broad array of general topics of interest in securities law and regulation.

1:50 p.m. Investigations and Enforcement Actions by Securities Regulators  
**Daniel Bukovac**, *Stinson Morrison Hecker, LLP* - **Nathan Soendker**, *Missouri Securities Division* & - **Jeff Ziesman**, *Financial Industry Regulatory Authority*

2:40 p.m. Break

2:55 p.m. Issues in Securities Arbitration and Litigation  
**Reggie Giffin**, *The Law Offices of Reggie C. Giffin* - **Jeffrey Kruske**, *The Law Office of Jeffrey S. Kruske, P.A.* - **Diane Nygaard**, *The Nygaard Law Firm* & **John Shaw**, *Berkowitz, Oliver Williams Shaw & Eisenbrandt, LLP*

3:45 p.m. Conducting Securities Offerings  
**Patrick Morgan**, *Missouri Securities Division* - **Victoria R. Westerhaus**, *Stinson Morrison Hecker, LLP* & **Katie Whitman**, *Missouri Securities Division*

● **Payment** must accompany registration. KCMBA accepts cash, check or American Express, MasterCard or Visa. No admission ticket or confirmation will be sent.

● **Cancellations/No Shows:** Those who cancel at least 24 hours prior to the seminar will receive a credit voucher to use toward any KCMBA program for one year. No vouchers will be issued for "no shows" or for cancellations received less than 24 hours prior to the start of a CLE seminar. Registration fees cannot be refunded.

● **Special Needs:** If you need special accommodations, please contact KCMBA prior to the program date at (816) 474-4322.

● **Parking:** Parking is available at Standard Parking Garages at 12th & McGee and 1120 Oak or at Wall Street Towers Garage at 1112 Grand Blvd.

- KCMBA Member \$99
- Non-member \$169
- Materials only \$29.78

Register Me!

## Annual Securities Law Seminar

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### 4 Ways to Register

- Mail registration form with check or credit card information to KCMBA, 1125 Grand Blvd., Ste. 400, Kansas City, MO 64106.
- Phone registration with credit card to KCMBA at (816) 474-4322.
- Fax registration with credit card to KCMBA at (816) 474-0103.
- Visit the CLE Registration page at [www.kcmba.org](http://www.kcmba.org) to register on-line.

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