

What's Happening in Securities Regulation and Arbitration

Sponsored by the KCMBA Securities Committee,
in cooperation with the Missouri Secretary of State, Securities Division

Friday, October 3, 2008
Lantz Welch Education Center,
KCMBA Headquarters,
1125 Grand Blvd., Suite 400,
Kansas City, MO 64106



Registration: 12:30 p.m. Seminar: 1 to 3:50 p.m.

Networking Reception: 3:50 to 5 p.m.

3.0 CLE Hours in Missouri and Kansas (pending)

Fees: \$99 for KCMBA Member \$169 for Non-member

Moderator: John J. Miller, Chair, *Securities Committee; Swanson Midgley, LLC*

General Session and Panel Discussion: What's Going On in Securities Regulation and Enforcement

This panel will discuss current trends in securities regulation, including proposed federal regulatory restructuring, enforcement actions regarding auction rate securities and mortgage-backed securities, and proposed regulation of equity-indexed annuities.

Speakers: **Matthew D. Kitzi**, *State of Missouri, Securities Division*

David H. Reinmiller, *American Century Investments*

W. Perry Brandt, *Bryan Cave, LLP*

Breakout #1) Securities Regulation for Small Businesses

This session will be a discussion of issues regarding capital formation for companies, and how to avoid schemes to defraud.

Speakers: **Patrick Morgan**, *State of Missouri, Securities Division*

Nathan Soendker, *State of Missouri, Securities Division*

Philip N. Krause, *Shughart Thomson & Kilroy, P.C.*

Breakout #2) Changes in Securities Arbitration

This panel will discuss changes to the FINRA Code of Arbitration, the proposed Arbitration Fairness Act, and strategies for arbitration success.

Speakers: **Benjamin R. Prell**, *Stafford & Associates, LLC*

John W. Shaw, *Berkowitz Oliver Williams Shaw & Eisenbrandt LLP*

Barry Estell, *Law Firm of Barry D. Estell*

Breakout #3) Dealing with Securities Enforcement Actions

This session will be a discussion of the enforcement process and best practices in enforcement.

Speakers: **Matthew D. Kitzi**, *State of Missouri, Securities Division*

Mary Hosmer, *State of Missouri, Securities Division*

Amy E. Rush, *Waddell & Reed Financial, Inc.*

2 p.m. Break-out Sessions (choose one):

- 1) Securities Regulation for Small Businesses
- 2) Changes in Securities Arbitration
- 3) Dealing with Securities Enforcement Actions

3 p.m. Break-out Sessions (choose one):

- 1) Securities Regulation for Small Businesses
- 2) Changes in Securities Arbitration
- 3) Dealing with Securities Enforcement Actions

Seminar Information

- **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.
- **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.; free for full and half-day seminars. Bring your pass to the registration table for validation.
- KCMBA members and potential members are faxed CLE notices as a service. To discontinue this service please call (816) 474-4322 ext. 324

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

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 to register on-line.

FEIN 43-0860985

Register Me!

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E#481

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