Regional CLE Workshop

Current Issues in FINRA Arbitration and Enforcement

February 9, 2018
Law Offices of Carlton Fields
Corporate Center Three at International Plaza
4221 W. Boy Scout Boulevard, Suite 1000
Tampa, FL 33607

Presented by the ABA Section of Litigation
Securities Litigation and Alternative Dispute Resolution Committees

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# Program Agenda*

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<th>Time</th>
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<td>12:30 pm – 1:00 pm</td>
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| 1:00 pm – 2:15 pm | **Financial Elder Abuse: Hot Topics in Enforcement, Compliance, and Civil Litigation**  
  The protection of elder investors is a top priority for FINRA, both from an examination and enforcement perspective. And states, including Florida, provide special legal protections and resources for seniors who are the victims of financial elder abuse. This panel will discuss FINRA's priorities in this space and include perspectives from the investor and defense bar on how the corresponding state-law apparatus has been protecting seniors. The panel will also discuss how broker-dealers and investment advisers are serving elder clients and defending themselves, when necessary, from accusations of wrongdoing.  
  **Moderator:** John Clabby, Carlton Fields Jorden Burt P.A., Tampa, FL  
  **Panelists:** Teresa Verges, Investor Rights Clinic, University of Miami School of Law, Coral Gables, FL, Michael A. Gross, Ulmer & Berne LLP, Boca Raton, FL, Gail Buckner, Franklin Templeton Investments, St. Petersburg, FL, Penny Blackwell, Deputy Regional Chief Counsel, FINRA, Dallas, TX, William B. Lewis, Morgan & Morgan, West Palm Beach, FL |
| 2:15 pm – 2:30 pm | **Break**                                                               |
| 2:30 pm – 3:45 pm | **FINRA Arbitration 2018: Tips, Tricks, and Considerations**  
  Recent rule changes, proposals, and commentary have altered the playing field in FINRA arbitration. Now more than ever, practitioners and parties must be sensitive to issues of costs and regulatory impact, as well as questions of insurance coverage and collectability. This panel will include speakers from the Claimants' bar, defense bar, and industry and will discuss new and pending rule changes, arbitrator selection considerations, strategies for controlling costs in discovery and expert engagement, tag-along regulatory inquiries, and strategies for addressing coverage and collectability issues.  
  **Moderator:** Joseph S. Simms, Koehler Fitzgerald LLC, Cleveland, OH  
| 3:45 pm – 5:00 pm | **FINRA Expungement: Current Problems, Solutions, and Recent Trends**  
  The expungement process has transformed over the last 5-10 years. This panel will discuss problems with the expungement process, including the time-consuming nature of expungement relief, expediting expungement for meritless complaints, and the misunderstanding of how complaints are reported. This panel will also explore recent trends in expungement, including the increase in expungement-only arbitrations, the effect of the mandatory BrokerCheck link, and the future of expungement relief.  
  **Moderator:** W. Preston Martin, Bressler Amery & Ross P.C., Birmingham, AL  
  **Panelists:** William B. Young Jr., Colling Gilbert Wright & Carter, LLC, Orlando, FL, Meredith Jowers Lees, Rumberger Kirk & Caldwell Attorneys At Law, Birmingham, AL, Kimberly Gustafson, Morgan Stanley Wealth, St. Petersburg, FL |
| 5:00 pm – 6:30 pm | **Happy Hour (onsite)**                                                |

*subject to change
Program Organizers

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Registration Information
- $75.00 Section of Litigation members
- $140.00 Non-Section members

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☐ I will attend the meeting and my payment for $_______ is enclosed.

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