

The 2016 Ohio Securities Conference

sponsored by:



Department
of Commerce



University of Toledo
College of Law

Friday, October 21

Renaissance Columbus Downtown Hotel

Session Topics and Speakers

U.S. Department of Labor's Fiduciary Rule and the New Best Interest Contract Requirement

Nationally recognized speakers Barbara Roper, Director of Investor Education for the Consumer Federation of America, and Paul Dougherty, President-Elect for the National Association of Insurance and Financial Advisors, will be featured in a debate-style session discussing key aspects of this timely issue.

Moderator: Paul Rose, Professor, The Ohio State University Moritz College of Law

Public Corruption and Federal Securities Cases

Douglas Squire, Assistant U.S. Attorney, Southern District of Ohio, will share examples of how his office has litigated public corruption and federal securities cases.

Federal and State Regulatory Priorities Panel

Representatives from the SEC, FINRA, NASAA, and the Ohio Division of Securities will discuss key programs and processes each regulator is focusing on this year. Topics will include: cybersecurity, elder protection initiatives, current exam and enforcement priorities, and crowdfunding.

- David Glockner, Director, Chicago Regional Office, SEC
- Ed Wegener, Senior Vice President and Midwest Regional Director, FINRA
- Joseph Brady, Executive Director, NASAA
- Andrea Seidt, Commissioner, Ohio Division of Securities

Moderator: Steve Irwin, Partner, Leech, Tishman, Fuscaldo & Lampl

Complex Securities Products

University of Toledo College of Law Professor Eric Chaffee and securities attorneys Thomas Geyer, Bailey Cavalieri, and Michael Wible, Thompson Hine, will address complex securities products and their role in the marketplace.

Ohio Division of Securities Updates and Advisory Panels

Choose one of three concurrent sessions hosted by the section chiefs for an interactive discussion on timely issues of interest to each section.

- Anne Followell - Licensing
- Mark Heuerman - Registration
- Janice Hitzeman - Enforcement

Registration information will be available mid-August. Be sure you're on our mailing list to stay current on all the details of this annual conference.

Questions? Contact Kelly.Igoe@com.ohio.gov

* 6 hours of Continuing Education credit available for
Attorneys, Certified Financial Planners and Certified Public Accountants