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# *2016 Ohio Securities Conference*

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Presented By

**Ohio**

Department  
of Commerce



University of Toledo  
College of Law

# 2016 Ohio Securities Conference

October 21st, 2016

Sponsored by the Ohio Division of Securities and the University of Toledo College of Law

Renaissance Columbus Hotel  
50 N. 3rd St.  
Columbus, OH 43215

## Agenda

### 7:45 – 8:15 a.m. Registration & Continental Breakfast

#### 8:15 – 8:30 a.m. Opening Remarks

- Director Jacqueline T. Williams, Ohio Department of Commerce
- Dean Benjamin Barros, University of Toledo College of Law
- Commissioner Andrea Seidt, Division of Securities

#### 8:30 – 9:30 a.m. Fiduciary Rule & Best Interest Contract Requirement

Nationally recognized experts:

- Barbara Roper, Consumer Federation of America
- Paul Dougherty, National Association of Insurance and Financial Advisors
- *Moderator:* Paul Rose, The Ohio State University, Moritz College of Law

### Continuing Education Credit

- This course has been approved by the Supreme Court of Ohio Commission on Continuing Legal Education for 6 total CLE hours instruction.
- CPE Eligible.
- CFP CE approval pending.

### 9:30 – 9:45 a.m. Break

### 9:45 – 12:00 p.m. Regulatory Panel

Featuring representatives from:

- SEC, David Glockner
- FINRA, Laura Trotz
- NASAA, Joseph Brady
- The Ohio Division of Securities, Andrea Seidt
- *Moderator:* Steve Irwin, Partner; Leech, Tishman, Fuscaldo & Lampl

### 12:00 – 12:30 p.m. Lunch Buffet

### 12:30 – 1:15 p.m. Keynote Speaker

Douglas Squires, Assistant U.S. Attorney, will address the issue of corporate corruption and recent federal securities cases.

### 1:15 – 1:30 p.m. Break

### 1:30 – 3:00 p.m. Complex Securities Products

- Thomas E. Geyer, Bailey Cavalieri, LLC
- Michael Wible, Thompson Hine
- Eric Chaffee, University of Toledo College of Law

### 3:00 – 3:15 p.m. Break

### 3:15 – 4:15 p.m. Division Update & Advisory Committee Meetings

Useful compliance tips and relevant legal updates by the Division staff lawyers.

- Mark Heurman, Registration Chief Counsel
- Janice Hitzeman, Attorney Inspector
- Anne Followell, Licensing Chief Counsel

Advisory Committee Meetings: Since 1980, Advisory Committees sponsored by the Ohio Division of Securities have served as valuable vehicles for interaction between the Division and the public. Through these Committees, the Division has communicated policy positions, received feedback on Division proposals, and gained valuable perspective on the impact and implications of Division practices.

### 4:15 p.m. Conclude and Adjourn

## Registration Form

Standard (\$130)

Government (\$100)

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Firm or Agency: \_\_\_\_\_

Street Address: \_\_\_\_\_

Address Line 2: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Phone: \_\_\_\_\_ Email: \_\_\_\_\_

Please indicate if you have any special dietary needs: \_\_\_\_\_

Please select which Advisory Committee Meeting you plan to attend:

Enforcement

Licensing

Registration/Corporate Finance

Please cut out the form above if you wish to register by mail.

## Registration Fee

please note, registration fees are nonrefundable

1. Standard Rate \$130
2. Government Rate \$100

If paying by **check**, please make payable to:

### The University of Toledo

and mail to:

University of Toledo, College of Law  
2801 W Bancroft St  
MS 507  
Toledo, OH 43606  
Attn: Business Manager

## Registration available online:

<http://utole.do/ohiosecurities>

Please register by

**Tuesday, September 30th, 2016**

To see if registration is possible after September 30th, or if you have any questions regarding registration, please contact Ray Glenn at 614-644-7395 prior to submitting your registration form.

## *Available Parking Options*

Daily rates for most parking locations is approximately \$10. The rate at the Renaissance Hotel is \$18 for the day.

*1. Renaissance Columbus Downtown Hotel*  
(valet parking)  
614-228-5050 Ext 23

*2. Statehouse Garage*  
(underground parking)  
614-728-2557

*3. East Gay Street Lot*  
72 E. Gay Street  
614- 224-1320

*4. East Long Street Lots*  
55 E. Long Street  
614- 224-1320

*5. Buckeye Garage*  
55 E. Gay Street (Indoor parking)  
614- 222-0443

*6. 4th & Elm Parking Garage*  
80 N. Fourth Street  
614-221-5963

*7. Columbus Commons Garage*  
191 S. Third Street (Underground Garage)  
614-461-4454

*8. Columbus Commons Garage/Main Garage*  
55 E. Rich Street