



Upper Midwest Securities Litigation and Enforcement Forum

Thursday, May 29, 2014

Graves 601 Hotel

601 1st Avenue North
Minneapolis, MN 55403

www.graves601hotel.com

CLE credits applied for

Welcome

Register today for the fifth annual Upper Midwest Securities Litigation and Enforcement Forum. Join FINRA's R. Scott DeArmey, District Director of FINRA's Kansas City District Office; Director of Securities for Minnesota Department of Commerce Robert Moilanen; University of Minnesota law professor and former White House Chief Ethics Officer Richard Painter, and other leaders for a discussion of securities litigation and industry regulation. Speakers will address future challenges and strategies in the financial industry, securities and insurance regulation and enforcement, an update in securities litigation, and current issues for regulators.

REGISTER: *Dena Edmiston, Briggs and Morgan, P.A. 612.977.8581 or e-mail dedmiston@briggs.com*

Agenda

- 8:30 a.m. - 9:00 a.m. **Registration and Continental Breakfast**
- 9:00 a.m. - 9:15 a.m. **Welcome – The Algorithm**
Frank A. Taylor, Briggs and Morgan, P.A.
- 9:15 a.m. - 10:15 a.m. **From the Regulators – Current Perspectives**
R. Scott DeArmey, District Director of the Kansas City District Office, FINRA
Robert C. Moilanen, Director of Securities, Minnesota Department of Commerce
James R. Mumford, First Deputy Commissioner, Iowa Insurance Division,
Iowa Department of Commerce
David E. Rosedahl, Briggs and Morgan, P.A. (Moderator)
- 10:15 a.m. - 11:00 a.m. **Unrest in the Municipal Finance World**
Frank E. Fairman, Managing Director and Head of Public Finance Services, Piper Jaffray
Terri Y. Heaton, SVP, Springsted Incorporated
Alan D. Polsky, SVP, Dougherty & Company
Scott G. Knudson, Briggs and Morgan, P.A. (Moderator)
- 11:00 a.m. - 11:15 a.m. **Break**
- 11:15 a.m. - 12:00 p.m. **Strategies for Managing Parallel Regulatory Proceedings**
Patricia S. Bartholomew, Managing Partner, General Counsel, Chief Compliance Officer
and Chief Operations Officer, Craig-Hallum Capital Group
Dennis J. Capriglione, Associate General Counsel, Edward Jones
Eric L. Marhoun, EVP and General Counsel, Fidelity & Guaranty Life
Julie H. Firestone, Briggs and Morgan, P.A. (Moderator)
- 12:00 p.m. - 12:45 p.m. **Lunch (provided)**
Securities Litigation and Arbitration Claims: What the Insurers See
Robert G. Erzen, VP, Arthur J. Gallagher
- 12:45 p.m. - 1:15 p.m. **Developments in Securities Law and Implementation of the JOBS Act**
Professor Richard W. Painter, University of Minnesota Law School
Maggie A. Goetze, Briggs and Morgan, P.A. (Moderator)
- 1:15 p.m. - 2:15 p.m. **SEC Initiatives and Current Issues**
Richard T. Chase, General Counsel and Managing Director, RBC Capital Markets, LLC
Alan Grigoletto, VP of Education, Options Industry Council
David S. Royal, Deputy General Counsel, Thrivent Financial
Peter D. Santori, EVP, Chief Compliance Officer, and Chief Regulatory Officer,
Chicago Stock Exchange
Frank A. Taylor, Briggs and Morgan, P.A. (Moderator)

Agenda

2:15 p.m. - 2:30 p.m. **Break**

2:30 p.m. - 3:15 p.m. **Hedge Funds and Private Equity**

Kevin J. Hiniker, General Counsel & Chief Compliance Officer, Castlelake

Professor Wulf Kaal, University of St. Thomas School of Law

Joseph T. Kinning, Briggs and Morgan, P.A. (Moderator)

3:15 p.m. - 4:00 p.m. **The New Great Train Robbery: Cyber Security and Protecting Customer Data**

James C. Browning, Jr., Deputy General Counsel and VP, Stifel, Nicolaus & Company

Robert G. Erzen, VP, Arthur J. Gallagher

Paul H. Luehr, Managing Director, Stroz Friedberg

Daniel J. Supalla, Briggs and Morgan, P.A. (Moderator)