



2011 SECURITIES SYMPOSIUM

Presented by The Bar Association of Metropolitan St. Louis
and Greensfelder, Hemker & Gale, P.C.

In Cooperation With

Linda D. Fienberg
President, Financial Industry Regulatory
Authority Dispute Resolution

Wednesday, November 2, 2011

Donald Danforth Plant Science Center
St. Louis, Missouri

PROGRAM

12:30 – 1:00 Registration

1:00 – 1:10 Welcome

1:10 – 2:00 Arbitration Developments

- The New Discovery Guide
- The Subpoena Process
- Expungement Update
- The All Public Panel Rule
- Current Statistics
- Professionalism in the Arbitration Process
- Multi-Jurisdictional Practice Issues

Moderator

Dennis J. Capriglione - *Associate General Counsel*
Edward Jones

Panelists

Patricia E. Cowart - *Assistant General Counsel*
Wells Fargo Corp.

Linda D. Fienberg - *President, FINRA Dispute Resolution*
and Chief Hearing Officer

M. Jane Matoesian - *Officer*
Greensfelder, Hemker & Gale, P.C.

2:00 – 2:10 Break

2:10 – 3:00 Timely ERISA Topics

- Current Status of the Department of Labor's Proposed Fiduciary Rule Changes
- Impact of Fiduciary Changes on Customers and Business Practices

Moderator

Wendy S. Menghini - *Officer*
Greensfelder, Hemker & Gale, P.C.

Panelists

Phyllis C. Borzi (*via video conference*) - *Assistant Secretary*
U.S. Department of Labor - Employee Benefits
Security Administration

Timothy D. Hauser (*via video conference*) - *Associate Solicitor*
U.S. Department of Labor - Plan Benefits Security
Division

David A. Hebner - *Managing Counsel*
Wells Fargo Advisors

3:00 – 3:10 Break

3:10 – 4:00 Regulatory Trends and the Firm's Response

- Developments in Regulatory Programs
- Common Exam Findings and Focus on New Rules
- Recent FINRA and SEC Enforcement Actions

Moderator

Timothy M. Huskey - *Officer*
Greensfelder, Hemker & Gale, P.C.

Panelists

R. Scott DeArmey - *District Director*
FINRA – Kansas City

Peter B. Driscoll - *Assistant Regional Director*
U.S. Securities & Exchange Commission

Clay L. Grumke - *Managing Counsel*
Regulatory Team, Wells Fargo Corp.

Alexander T. Moore - *Associate General Counsel*
Scottrade, Inc.

4:00 – 4:10 Break

4:10 – 5:00 Current Investment Advisor Issues

- Important Issues for Investment Advisers
 - The Custody Rule
 - Pay to Play
 - Principal Trades
 - New Registration and Reporting Requirements
- The Brochure and Brochure Supplement
- Due Diligence and Rule 206(4)-7 of the Investment Advisers Act of 1940

Moderator

Connie A. Ahrens - *Senior Compliance Counsel*
Edward Jones

Panelists

Steven R. Frontczak - *General Counsel and
Chief Compliance Officer*
Moneta Group, Inc.

Daniel E. Haynes - *Compliance Manager*
Buckingham Family of Financial Services

Rita S. Kazembe - *Chief Compliance Officer - Advisory Services*
Stifel, Nicolaus & Company, Incorporated

5:00 – 6:30 Reception

Program is approved for:

4.0 Missouri CLE Credits, Including 1.0 Ethics

2.5 Illinois CLE Credits, Including .75 Ethics

*A bibliography and links to the cited materials are available at
www.greensfelder.com/securities-symposium-2011.aspx*