

37th Annual Northwest Securities Institute

REGISTER NOW!

osbar.inreachce.com (search for NWSI17)

Friday, May 19, 2017 | 8:30 a.m. – 4:45 p.m.

Hotel Monaco

506 SW Washington St., Portland, Oregon

OR CLE credits: 5.25 general and 1 ethics

WA CLE credits: 5.25 law and legal and 1 ethics

*Cosponsored by the Oregon State Bar Securities Regulation Section
and the Washington State Bar Business Law Section, in cooperation with WSBA CLE*

Experience a shorter and more focused program for the 2017 securities institute. Spend the morning learning the latest from SEC and state and provincial regulators, including a corporation finance update and an SEC enforcement hot topics panel. Afternoon breakout sessions will offer state and federal litigation and transactional tracks. Litigation discussions will highlight *Indiana Public Retirement System*, *Omnicare*, and *Truilia*, SEC administrative law judge authority, and secondary liability under Oregon securities law. Transactional breakout sessions will examine recently revised SEC rules, evolving practices under Rule 506(c), and the current state of Oregon and Washington crowdfunding. Lunch includes a special presentation on how media coverage has changed in the digital age, and the day concludes with a legal ethics session.

Register by 4/30/17 and save \$30

50-Year and Active Pro Bono OSB members and Oregon judges and their lawyer staff – please call the OSB CLE Service Center at (503) 431-6413 or (800) 452-8260, ext. 413 to register for the live seminar.

Register now at osbar.inreachce.com (search for NWSI17)

Use your credit card or pay by check (select electronic check or mail-in/fax-in check at the online checkout).

Questions or need help with registration?

Call the OSB CLE Service Center at (503) 431-6413 or (800) 452-8260, ext. 413, for assistance.

LIVE EVENT



- Early registration discount
—Register by 4/30/17 and save \$30
- \$300 Regular registration
(includes breakfast and lunch)
- \$ 25 Print course materials
(electronic materials are included with
your registration)

ACCOMMODATIONS

A block of rooms at the special institute rate of \$185 is available at the Hotel Monaco until Thursday, May 4, or until the room block is sold out. [Click here](#) to reserve online. For phone reservations call (800) 711-2971 and request the NW Securities Institute rate.

7:30 Registration and Breakfast

8:30 SEC Enforcement Update and Hot Topics Panel

Judith Anderson, *Assistant Regional Director, San Francisco Regional Office, U.S. Securities and Exchange Commission, San Francisco, CA*

David Angeli, *Angeli Law Group LLC, Portland, OR*

Jina Choi, *Regional Director, San Francisco Regional Office, U.S. Securities and Exchange Commission, San Francisco, CA*

Jane Norberg, *Chief, Office of the Whistleblower, Division of Enforcement, U.S. Securities and Exchange Commission, Washington, DC*

9:45 SEC Division of Corporation Finance Update

David Fredrickson, *Chief Counsel and Associate Director, Division of Corporation Finance, U.S. Securities and Exchange Commission, Washington, DC*

10:45 Break

11:00 State and Provincial Regulatory Update

Moderator: Mike Liles, Jr., *Karr Tuttle Campbell, Seattle, WA*

William Beatty, *Securities Administrator, Division of Securities, Washington State Department of Financial Institutions, Olympia, WA*

Jim Burns, *Securities Bureau Chief, Idaho Department of Finance, Boise, ID*

Douglas Muir, *Director of Enforcement, British Columbia Securities Commission, Vancouver, BC*

Kristy Naylor, *Alaska Division of Banking and Securities, Anchorage, AK*

David Tatman, *Chief of Enforcement, Oregon Division of Financial Regulation, Salem, OR*

12:00 Lunch and Presentation
(Included with registration)

Changing Media Coverage in the Digital Age

Professor Damian Radcliffe, *School of Journalism and Communication, University of Oregon, Eugene, OR*

Kateri Walsh, *Oregon State Bar, Tigard, OR*

1:30 Breakout A – Hot Topics in Federal Transactional Law

- SEC revised Rule 504, and revised/new Rules 147/147A
- Evolving practices under Rule 506(c)
- Reg A+ and Reg CF developments and the (relatively) new resale exemption under 4(a)7

Professor Daniel Morrissey, *Gonzaga University School of Law, Spokane, WA*

Jonathan Norling, *Emerge Law Group, Portland, OR*

Paul Swegle, *Newyu, Inc., Seattle, WA*

Breakout B – Federal Litigation Hot Topics

- *Indiana Public Retirement System v. SAIC*
- *Omnicare, Inc. v. Laborers District Council Construction Industry Pension Fund*
- SEC administrative law judge authority

Brad Daniels, *Stoel Rives LLP, Portland, OR*

Douglas Greene, *Lane Powell PC, Seattle, WA*

Roger Mellem, *Ryan Swanson & Cleveland PLLC, Seattle, WA*

2:30 Breakout C – Equity Crowdfunding Update: A Tale of Two States

Steven Boender, *K&L Gates LLP, Portland, OR*

Joseph Wallin, *Carney Badley Spellman PS, Seattle, WA*

Breakout D – Hot Topics in State Litigation

- Secondary liability under Oregon securities law
- *Trulia* and disclosure-only settlements

John Casey, *Stoel Rives LLP*,
Portland, OR

Keith Ketterling, *Stoll Stoll Berne
Lokting & Shlachter PC*, *Portland, OR*

Douglas Siddoway, *Randall | Danskin
PS*, *Spokane, WA*

3:30 Break

3:45 Where's Your Data? Data Privacy and Your Ethical Obligations

Calon Russell, *Holland & Knight LLP*,
Portland, OR

Dayna Underhill, *Holland & Knight LLP*,
Portland, OR

4:45 Adjourn

Planning Committee

Judith Anderson, *Assistant Regional Director*,
*San Francisco Regional Office, U.S. Securities and
Exchange Commission, San Francisco, CA*

John Casey, *Stoel Rives LLP, Portland, OR*

John Mericle, *Lane Powell PC, Seattle, WA*

Daniel Steiner, *Norton Rose Fulbright, Vancouver, BC*

General Information

Cancellations: Cancellation requests must be received at least 72 hours prior to the date of the seminar to qualify for a refund. Refunds are subject to a \$25 cancellation fee. To cancel, please call the OSB CLE Service Center at (503) 431-6413 or (800) 452-8260, ext. 413.

Tuition Assistance: Email a request stating your financial situation to cle@osbar.org or call the OSB CLE Service Center at (503) 431-6413 or (800) 452-8260, ext. 413, no later than one week before the seminar.

Dietary Restrictions or Accessibility Accommodations: Please call (503) 431-6352 or (800) 452-8260, ext. 352, at least 72 hours before the date of the seminar.



CLE
Seminars

Upcoming Seminars

April 12

Lunch and Learn Series: Top Litigation Issues in Business Valuation (BV217)

April 21

Courthouse Facility Dogs: Assisting in the Investigation and Prosecution of Crimes (CDG17)

April 26

Lunch and Learn Series: Business Valuation Buy-Sell Agreement (BV317)

April 28

Real Estate and Land Use Spring Forum 2017 (RE17)

May 5

Legal Ethics Best Practices

May 10

Lunch and Learn Series: Quantifying Damages in Cases Involving Market Prices (DAM117)

May 12

Becoming Media Savvy: Getting the Press You Want; Managing the Press You Don't Want

May 17

Lunch and Learn Series: Economic Damages – Risk Assessment (DAM217)

May 18

Investigating Employee Misconduct (IEM17)

May 24

Lunch and Learn Series: Calculating Economic Damages in But-For Scenarios (DAM317)

May 31

Lunch and Learn Series: Assessing Economic Damages in Employment Cases (DAM417)

Registration now available at osbar.inreachce.com for seminars with a program code (search for the program code)



Questions or need help with registration?

Call the OSB CLE Service Center at (503) 431-6413 or toll-free at (800) 452-8260, ext. 413, for assistance.