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 Trulia, 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

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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

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
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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

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