

41st Annual NW Securities Institute

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

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Friday, May 14, 2021



LIVE WEBCAST

8:30 a.m.–3:50 p.m.

Pacific Daylight Time (PDT)

OR CLE credits: 5 General and 1 Ethics

OR MCLE ID #: 78502

WA CLE credits: (*pending*) / MCLE ID # 1167569

British Columbia CPD credits: 6

Idaho CLE credits: (*pending*)

Alaska CLE credits: eligible for Alaska CLE credit

\$110 ONLD member

\$160 Regular registration

Includes online access to recorded seminar for 60 days after the event. Electronic materials are included with your registration.



Questions or need help with registration?

Call or email the OSB CLE Service Center:
(503) 431-6413 or (800) 452-8260, ext. 413
or cle@osbar.org

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.

Program Schedule

8:30 State and Provincial Regulatory Updates

Faith Anderson, Washington Department of Financial Institutions, Olympia

Dorothy Bean, Oregon Division of Financial Regulation, Salem

Patricia Highley, Idaho Department of Finance, Boise

John Hinze, British Columbia Securities Commission, Vancouver

9:30 Transition

9:35 SEC Enforcement and Corporation Finance Updates

Moderator: Carlos Vasquez, Supervisory Counsel for Outreach and Intake, Securities and Exchange Commission, San Francisco, CA

Tamara Brightwell, Deputy Director, Disclosure Review Program, Securities and Exchange Commission, Washington, DC

Erin Schneider, Regional Director, Enforcement, Securities and Exchange Commission, San Francisco, CA

11:05 Break

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11:20 Feeling Insecure? Understanding Legal Ethics Issues for Securities

David Elkanich, Buckhalter Ater Wynne, Portland, OR

Matthew Kalmanson, Hart Wagner LLP, Portland, OR

12:20 Lunch

1:00 Climate Change: Addressing a Material Risk

Moderator: Jason Ambers, Oregon Department of Consumer and Business Services, Salem

Veena Ramani, Senior Program Director, Capital Market Systems, Ceres Boston, MA

Aeron Teverbaugh, Oregon Department of Consumer and Business Services, Salem

1:45 Transition

1:50 Considerations for Cross-Border Securities Issuances

Kristopher Miks, Norton Rose Fulbright, Vancouver, BC

Jeffrey Woodcox, Tonkon Torp LLP, Portland, OR

2:35 Break

2:50 State of the M&A Markets: A US and Canadian Perspective

Moderator: Daniel Steiner, Norton Rose Fulbright, Vancouver, BC

David Herman, Managing Partner, Diamond Capital Partners, Los Angeles, CA

Ken Tarry, Managing Partner, Sequeira Partners, Vancouver, BC

3:50 Adjourn

Planning Committee

Faith Anderson, *Washington State Department of Financial Institutions, Olympia*

Jarell Hunt, *Tonkon Torp LLP, Portland, OR*

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

Carlos Vasquez, *Supervisory Counsel for Outreach and Intake, Securities & Exchange Commission, San Francisco, CA*



Upcoming Seminars

April 22-23

34th Annual Northwest Bankruptcy Institute (NWB21)

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Need help with registration, refunds, tuition assistance or accessibility accommodations?

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Please contact us at least 24 hours before the seminar for refunds and 72 hours before the seminar for accessibility accommodations.