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## 32<sup>ND</sup> ANNUAL NORTHWEST SECURITIES INSTITUTE



Featuring Joshua S. Friedman, attorney and hedge fund manager, to discuss capital markets

**Friday and Saturday,  
April 13 and 14, 2012**

**WSBA-CLE Conference Center**  
at Century Square  
1501 Fourth Avenue, Suite 308  
Seattle, Washington 98101

Presented in cooperation with the Oregon State Bar Securities Regulation Section, Oregon State Bar CLE Seminars, The CLE Society of BC, The CFA Society, and the Northwest State-Federal-Provincial Securities Conference.

See inside for Information about Receptions on Thursday, April 12 and Friday, April 13

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# 32<sup>ND</sup> ANNUAL NORTHWEST SECURITIES INSTITUTE

Thursday, April 12, 2012  
5:30 – 6:45 p.m.

**No-Host Reception with Complimentary Hors d'oeuvres across the street at the Red Lion Hotel on 5<sup>th</sup> Avenue**  
Open to all Northwest Securities Institute registrants and attendees from the Northwest Region Federal-State-Provincial Securities Conference.

## FRIDAY, APRIL 13, 2012

**7:30 a.m. Check-in • Walk-in Registrations • Distribution of Coursebooks • Coffee and Pastry Service**

**8:20 a.m. Welcome and Introductions by Program Chair**  
Howard Coleman — Coldstream Capital Management, Inc., Bellevue

**8:30 a.m. Federal Regulators: Corporate Finance**  
Thomas J. Kim — Associate Director for Regulatory Policy and Chief Counsel of the Division of Corporation Finance, Securities and Exchange Commission, Washington, D.C.  
Mauri Osheroff — Associate Director for Regulatory Policy, Division of Corporation Finance, Securities and Exchange Commission, Washington, D.C.

**9:30 a.m. Federal Regulator: Enforcement**  
Marc J. Fagel — Regional Director, Securities and Exchange Commission, San Francisco

**10:30 a.m. Break**

**10:45 a.m. Changes to the RIA Act Panel**  
Anita K. Krug — Assistant Professor of Law, University of Washington School of Law, Seattle  
Faith L. Anderson — Chief of Registration & General Counsel Unit Manager, Department of Financial Institutions, Securities Division, Olympia  
Ben Jacqmotte — Associate Counsel, Russell Investments, Seattle

**11:45 a.m. Lunch on Your Own**

**1:00 p.m. Keynote Presentation – Capital Markets**  
Joshua S. Friedman — Co-Chairman & Co-Chief Executive Officer, Canyon Partners, LLC, Los Angeles

**1:30 p.m. State Regulators Panel**  
William M. Beatty — Securities Administrator, Washington Department of Financial Institutions, Olympia  
Martin Eady — Director, Corporate Finance, British Columbia Securities Commission, Vancouver, BC  
Van M. Pounds — Chief of Enforcement & Securities, Oregon Division of Finance and Corporate Securities, Salem  
Jim Burns — Investigations Chief, Idaho Department of Finance, Boise

**2:45 p.m. Break**

**3:00 p.m. Private Placement Developments Panel**  
John Myer — Member, Myer Law PLLC, Seattle  
John Mericle — Member, Harris Mericle & Wakayama PLLC, Seattle

**4:00 p.m. Accessing the Canadian Capital Markets: Strategies for U.S. Issuers**  
Jeffrey A. Read — Borden Ladner Gervais LLC, Vancouver, BC  
Randall R. Jones — Partner, Dorsey & Whitney LLP, Seattle  
Moderator: Daniel Steiner — Stikeman Elliott, LLP, Vancouver BC

**5:00 p.m. Adjourn for Day**

**Friday 5:00 – 6:15 p.m.**  
**No-Host Reception with Complimentary Hors d'oeuvres across the street at the Red Lion Hotel on 5<sup>th</sup> Avenue**

## SATURDAY, APRIL 14, 2012

**7:30 a.m. Late Check-in • Walk-in Registrations • Distribution of Coursebooks • Coffee and Pastry Service**

**8:25 a.m. Welcoming Remarks by Program Chair**  
Howard Coleman — Coldstream Capital Management, Inc., Bellevue

**8:30 a.m. Dodd-Frank Updates**  
Mark Perlow — Partner, K&L Gates, San Francisco  
Michael Hutchings — Partner, DLA Piper, Seattle  
Marcus J. Williams — Partner, Davis Wright Tremaine LLP, Seattle

**9:30 a.m. Securities Class Action Panel**  
Jennifer Johnson — Professor of Law, Lewis & Clark College, Portland  
Douglas W. Greene — Partner, K&L Gates LLP, Seattle  
Charles J. Ha — Senior Associate, Orrick Herrington & Sutcliffe LLP, Seattle

**10:30 a.m. Break**

**10:45 a.m. Ethics Issues Facing Investment and Securities Law Professionals: Conflicts of Interest, Disclosure and Professional Standards**  
John A. Strait — Associate Professor of Law, Seattle University School of Law, Seattle  
Kurt N. Schacht, JD, CFA — Managing Director, Standards and Financial Market Integrity Division, CFA Institute, New York, NY  
Timothy J. Filer — Litigation Partner, Foster Pepper PLLC, Seattle  
Moderator: Martha Freitag — CFA Society/Martha E. Freitag Consulting, LLC, Bellevue

**12:00 Noon Concluding Remarks**  
Howard Coleman — Coldstream Capital Management, Inc., Bellevue

**12:05 p.m. Complete Evaluation Forms • Adjourn**

### Institute Steering Committee

**Judith L. Anderson** — Senior Special Counsel, Securities and Exchange Commission, San Francisco  
**A. Jeffery Bird** — Schwabe Williamson & Wyatt PC, Portland  
**Howard Coleman** — Coldstream Capital Management, Inc., Bellevue  
**Martha Freitag** — CFA Society/Martha E. Freitag Consulting, LLC, Bellevue  
**James B. Parsons** — Parsons/Burnett/Bjordahl/Hume, LLP, Bellevue  
**Daniel Steiner** — Stikeman Elliott LLP, Vancouver, BC

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