

33rd Annual
**Northwest
Securities
Institute**



Cosponsored by the Oregon State Bar Securities Regulation Section, the Washington State Bar Association Business Law Section, and in association with WSBA CLE and the Northwest State-Federal-Provincial Securities Conference

May 10–11, 2013

Hotel Vintage Plaza
Portland, Oregon

Oregon: 10 General CLE credits
Washington: Credits pending

Law Society of British Columbia: Credits pending



WHILE MEDIA OUTLETS INDICATE A TENTATIVE economy, this year's NW Securities Institute is forging ahead with presentations that cover familiar territory and new horizons. Kick off the institute with the traditional trio of regulatory updates: state and provincial, SEC enforcement, and SEC corporation finance. During lunch, hear about a local startup that received angel investment funds to fuel growth for an eventual buyout by a larger company. The afternoon sessions will look at the current state of Registered Investment Advisors, recent developments at FINRA, and private securities litigation. On Saturday, explore the JOBS Act and what happens when individuals face simultaneous investigations or litigation by multiple parties.

Register by April 19 and save \$20. Online registration is available by visiting www.osbar.org/events. For personal assistance or questions, please call the Oregon State Bar CLE Service Center at (503) 431-6413 or toll-free in Oregon at (800) 452-8260, ext. 413.

ACCOMMODATIONS

Special rates at the Hotel Vintage Plaza start at \$159 per night and are available through April 9, 2013. Make your reservation today by calling (800) 243-0555 or (503) 228-1212 and requesting the Oregon State Bar 2013 rate. Don't delay! Reservations made after April 9 are subject to availability.

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Thursday, May 9, 2013

5:30 Welcome Reception—The Wine Cellar, Hotel Vintage Plaza

Featuring complimentary heavy hors d'oeuvres and a no-host bar, this is an ideal opportunity to renew old acquaintances and develop new contacts with those attending the Northwest Securities Institute and the Northwest Region Federal-State-Provincial Securities Conference.

Friday, May 10, 2013

7:45 Registration and Continental Breakfast

8:40 Institute Welcome

8:45 State and Provincial Regulatory Update

Kevin C. Anselm, Enforcement and Securities Chief, Alaska Division of Banking and Securities, Anchorage, AK

William M. Beatty, Director, Division of Securities, Washington State Department of Financial Institutions, Olympia, WA

Peter J. Brady, Director, Corporate Finance, British Columbia Securities Commission, Vancouver, BC

Jim Burns, Investigations Chief, Idaho Department of Finance, Boise, ID

Van M. Pounds, Chief of Enforcement, Oregon Division of Finance and Corporate Securities, Salem, OR

10:15 Break

10:30 SEC Enforcement Update

Michael Dicke, Associate Regional Director for Enforcement, San Francisco Regional Office, U.S. Securities and Exchange Commission, San Francisco, CA

11:30 Corporation Finance Developments

Thomas J. Kim, Chief Counsel & Associate Director, Division of Corporation Finance, U.S. Securities and Exchange Commission, Washington, DC (via Skype)

12:30 Lunch (included with registration)

“Angel Investment: Helping Startups Soar to Success”

Tom Kingsley, CrowdCompass, Portland, OR

1:45 Registered Investment Advisors Update

Paul W. Conable, Tonkon Torp LLP, Portland, OR

Kristin A. Snyder, Associate Regional Director for Examinations, San Francisco Regional Office, U.S. Securities and Exchange Commission, San Francisco, CA

2:45 Recent Developments at FINRA

Robert S. Banks, Jr., Banks Law Office PC, Portland, OR

Darlene D. Pasieczny, Banks Law Office PC, Portland, OR

3:30 Break

3:45 Private Securities Litigation

Keith S. Dubanevich, Stoll Berne, Portland, OR

James T. McDermott, Ball Janik LLP, Portland, OR

Tanya Durkee Urbach, Lane Powell PC, Portland, OR

5:00 Adjourn

Due to scheduling conflicts at the hotel, we regret that a reception is not possible. However, please join us for a hot breakfast buffet on Saturday morning.

Friday, May 10, 2013, 8:45 a.m.–5 p.m.

Saturday, May 11, 2013, 9 a.m.–Noon

Oregon: 10 General CLE credits ♦ Washington: Credits pending
Law Society of British Columbia: Credits pending

Hotel Vintage Plaza ♦ 422 SW Broadway ♦ Portland, Oregon

Saturday, May 11, 2013

- 8:00 Late Registration and Breakfast Buffet**
Please enjoy the company of your colleagues and a breakfast buffet featuring eggs, Greek yogurt, fresh fruit, assorted pastries, bagels and cream cheese, and oatmeal.
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- 9:00 Jumpstart Our Business Startups (JOBS) Act Update**
Mark R. Beatty, *Law Office of Mark R. Beatty, Bellevue, WA*
M. Christopher Hall, *Perkins Coie LLP, Portland, OR*
-
- 10:30 Break**
-
- 10:45 Multi-Party Investigations**
David H. Angeli, *Angeli Law Group and Litigation LLC, Portland, OR*
-
- Noon Adjourn**

Institute Planning Committee

- ♦ Judith L. Anderson, *U.S. Securities & Exchange Commission, San Francisco, CA*
- ♦ Jacob S. Gill, *Stoll Berne, Portland, OR*
- ♦ James B. Parsons, *Parsons/Burnett/Bjordahl/Hume LLP, Bellevue, WA*
- ♦ Daniel E. Steiner, *Stikeman Elliott LLP, Vancouver, BC*

OSB CLE Seminars Attorney

- ♦ Karen Lee, *klee@osbar.org, (503) 431-6382*

33rd Annual Northwest Securities Institute

May 10–11, 2013

Name Bar #

Firm Name

Phone Fax E-mail

Address

City State Zip Code

INSTITUTE REGISTRATION

- \$405 Early registration (received by 4/19/13) \$ _____
- \$425 Regular registration (received after 4/19/13)..... \$ _____
- \$0 Please reserve a box lunch for Friday Vegetarian
- \$0 50-year OSB members, Oregon judges and their lawyer staff please call the OSB CLE Service Center at (503) 431-6413 or toll-free in Oregon at (800) 452-8260, ext. 413, to register.

Course materials (please select one):

- \$0 Electronic (USB flash drive)
- \$25 Printed version..... \$ _____

TOTAL REGISTRATION FEES (NWSI13) (710) \$ _____

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INSTITUTE PRODUCT ORDERS

Audio CDs and course materials will be available approximately 2 weeks after the live program. Please call the OSB CLE Service Center at (503) 431-6413 or toll-free in Oregon at (800) 452-8260, ext. 413, to place your order.

THREE WAYS TO REGISTER OR ORDER

Registrations and orders will not be processed without payment.

1. **ONLINE** using VISA or MasterCard at www.osbar.org/events.
2. **PHONE:** (503) 431-6413, or toll-free in Oregon at (800) 452-8260, ext. 413
3. **MAIL with check:** Oregon State Bar, CLE Registration, P.O. Box 231935, Tigard, OR 97281-1935

GENERAL INFORMATION

QUESTIONS? Call the CLE Service Center at (503) 431-6413 or toll-free in Oregon at (800) 452-8260, ext. 413. For information about upcoming seminars, please visit the CLE Calendar at www.osbarcle.org.

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 toll-free in Oregon at (800) 452-8260, ext. 413.

DIETARY RESTRICTIONS OR SPECIAL ACCOMMODATIONS: Please call (503) 431-6352 or toll-free in Oregon at (800) 452-8260, ext. 352, at least 72 hours before the date of the seminar.