

DATE and SCHEDULE
Thursday, January 22, 2015**Registration**
7:30 a.m. – 8:00 a.m.**Session I**
8:00 a.m. – 9:15 a.m.**Break**
9:15 a.m. – 9:25 a.m.**Session II**
9:25 a.m. – 10:40 a.m.**Break**
10:40 a.m. – 10:50 a.m.**Session III**
10:50 a.m. – 11:50 a.m.**Session IV**
11:50 a.m. – 12:00 noon**REGISTER****RSVP online by**
Friday, January 16, 2015**LOCATION****Dorsey & Whitney**
Minnesota Room
50 South Sixth Street, Suite 1500
Minneapolis, Minnesota
Telephone: (612) 340-2600
[Map & Directions](#)**PARKING**

Complimentary event parking is available at these two locations:

- 1 Floors 4 through 8 only in the **50 South Sixth Street Ramp**. Enter on Sixth Street between Hennepin Avenue and Nicollet Mall. Please do not park in the Client Parking section on level 3.
- 2 At the **Gaviidae Ramp** located on Sixth Street between Nicollet Mall and Marquette Avenue, on the right side.

Click [here](#) for directions.**Dorsey & Whitney LLP**
3rd Annual Securities Seminar

Please join a panel of distinguished in-house counsel, industry experts, and Dorsey & Whitney partners for a conference addressing noteworthy issues affecting broker dealers and investment advisors in 2014 and what to expect in 2015. We will also address how your company should respond to enforcement activities from the DOJ and SEC.

Session I – The State of Enforcement
(8:00 a.m. – 9:15 a.m.)

2014 brought with it many significant enforcement initiatives from the SEC and DOJ directed at broker dealers and investment advisors -- some were successful and some were failures. This session led by experts will delve into those initiatives and activities that impact broker dealers and investment advisors.

Michael Kremenak, Panelist
Senior Counsel, Thrivent Financial**Jennifer Lammers**, Panelist
Chief Compliance Officer, Galliard Capital Management**Ann McCague**, Panelist
Managing Director, Global Head of Compliance, Piper Jaffray Companies**Tim O'Brien**, Panelist
Partner, General Counsel & Chief Compliance Officer,
Pine River Capital Management L.P.**Dan Torbenson**, Panelist
Chief Counsel, U.S. Regulatory and Corporate Services, Royal Bank of Canada**Tom Gorman**, Panelist
Partner, Dorsey & Whitney LLP**Ben Anderson**, Moderator
Principal, Anderson PLC**Session II – The Enforcement Crystal Ball**
(9:25 a.m. – 10:40 a.m.)

What should broker dealers and investment advisors expect in 2015 and how should they prepare for what is to come? In this session, broker dealer and investment advisor experts will cover issues such as anticipating the winds of change at the SEC and

CLE INFORMATION

We will apply for CLE credit in Iowa, Minnesota and Washington. Dorsey is an Accredited CLE Provider in New York and California, and this program will be CLE accredited in those states. For any other state, Dorsey will not be applying for CLE credit, however, participants are welcome to apply for and/or claim credit according to their jurisdiction's regulations. Please contact [Michelle Hubble](#) with questions regarding CLE.

DOJ, adjusting legal and compliance functions in anticipation of those changes, preparing for the increasing presence of whistleblowers, and other practical insights from our look into the year ahead.

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Tom Gorman, Panelist

Partner, Dorsey & Whitney LLP

Ben Anderson, Moderator

Principal, Anderson PLC

Session III – Responding to SEC and DOJ Enforcement Activities

(10:50 a.m. – 11:50 a.m.)

Of critical importance is how companies should respond to requests from the SEC or DOJ. In this session, compliance and personnel enforcement lawyers will address how to respond to an SEC field examination, or how to respond to an SEC targeted examination. These experts will also cover how to respond to a DOJ Grand Jury subpoena or a DOJ target letter addressed to one of your employees. Other significant issues, such as the use of outside counsel and the importance of attorney-client privilege will also be covered.

Ann McCague, Panelist

Managing Director, Global Head of Compliance, Piper Jaffray Companies

Tim O'Brien, Panelist

Partner, General Counsel & Chief Compliance Officer, Pine River Capital Management L.P.

Suzanne Taylor, Panelist

Vice President, Group Counsel, Ameriprise Financial, Inc.

Dan Torbenson, Panelist

Chief Counsel, U.S. Regulatory and Corporate Services, Royal Bank of Canada

RJ Zayed, Panelist

Partner, Dorsey & Whitney LLP

J Jackson, Moderator

Partner, Dorsey & Whitney LLP

Session IV – Takeaways

(11:50 a.m. – 12:00 noon)

This session will summarize and provide you with takeaways from today's program.



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