

Current Issues in Securities Arbitration and Litigation

Thursday, June 21, 2007
Lantz Welch Education Center,
KCMBA Headquarters,
1125 Grand Blvd., Ste. 400,
Kansas City, MO 64106

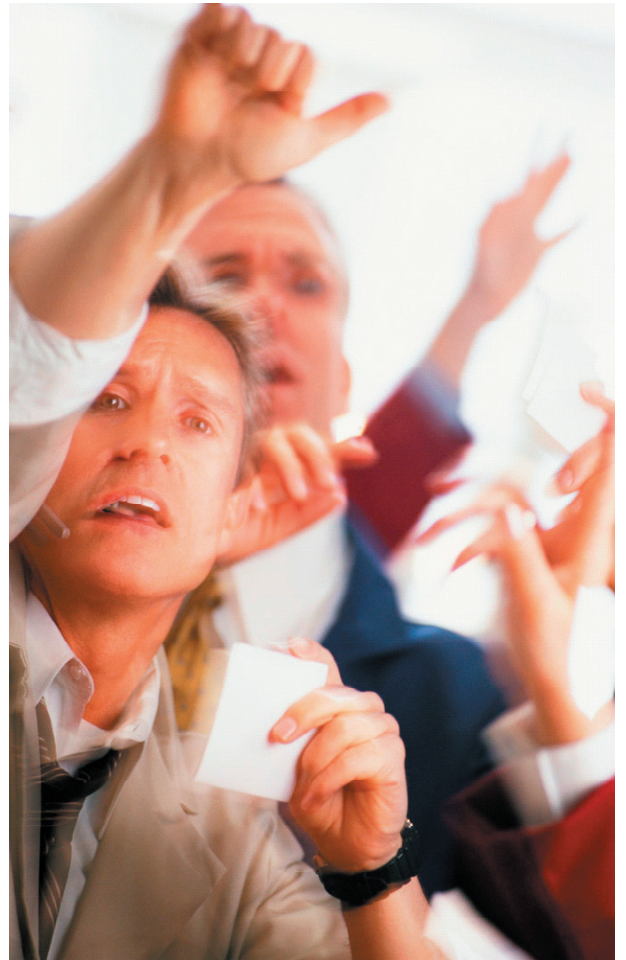
Co-sponsored by the the KCMBA Securities Committee & UMKC School of Law/CLE

Registration: 12:15 p.m.
Seminar: 12:45 to 3:35 p.m.

3.0 CLE Hours in Missouri and Kansas (pending)

Fees: \$99 for KCMBA Member
\$169 for Non-member

Since the recent decline in the record number of securities complaints filed in 2000-2005, securities arbitration practitioners are now seeing a return to a somewhat normal case load, but the types of complaints being filed now are anything but normal. Attorneys that represent parties in securities arbitration and regulatory matters continue to witness an evolving process that will continue to change as markets develop and the expectations of investors and brokers change. While typical complaints of suitability violations continue to be filed, an increasing number of cases involving commissions, private placements, and other products such as variable annuities and equity indexed annuities require attorneys to remain tuned in to current developments in this unique and challenging practice of law.



Who Should Attend:

This seminar is for attorneys with varying familiarity with securities law. Attorneys that represent broker dealers or publicly traded companies will benefit from this CLE. In addition, attorneys that invest or have clients that invest in the stock market as well as those that are interested in mediating securities claims should also consider attending. This seminar will serve as an update of the recent issues permeating the financial services industry and suggestions for attorneys who represent customers, brokers, and brokerage firms.

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12:15 p.m. Registration

Moderator: Jeffrey S. Kruske, *Law Office of Jeffrey S. Kruske, P.A.*,
Vice-Chair Securities Law Committee

12:45 p.m. **Mediation in Securities Cases**
 Claimant: John J. Miller, *Swanson Midgley, LLC*
 Respondent: W. Perry Brandt, *Bryan Cave LLP*

1:35 p.m. **Point Counterpoint Trial Issues**
 Claimant: Roger N. Walter, *Morris, Laing, Evans, Brock and Kennedy, Chartered*
 Jeffrey S. Kruske, *Law Office of Jeffrey S. Kruske, P.A.*
 Respondent: John W. Shaw, *Berkowitz Oliver Williams Shaw & Eisenbrandt LLP*
 Gordon D. Gee, *Seigfried, Bingham, Levy, Selzer & Gee, P.C.*

2:25 p.m. Break

2:45 p.m. **Securities Regulators Current Issues**
 Terry L. Lister, Chief Compliance Officer, *Waddell & Reed Financial, Inc.*
 Gail Bright, Assistant General Counsel, *Office of Kansas Securities Commissioner*
 James M. Stephens, Regional Counsel, *NASD*
 Roger N. Walter, *Morris, Laing, Evans, Brock and Kennedy, Chartered*

3:35 p.m. Adjourn



Seminar Information

- **Payment** must accompany registration. KCMBA accepts cash, check or American Express, MasterCard or Visa.
- **Cancellations/No Shows:** Those who cancel at least 24 hours prior to the seminar will receive a credit voucher to use toward any KCMBA program for one year.
- **Special Needs:** If you need special accommodations, please contact KCMBA prior to the program date at (816) 474-4322.
- **Parking:** Parking is available at Standard Parking Garages at 12th & McGee and 1120 Oak or at Wall Street Towers Garage at 1112 Grand Blvd.; free for full and half-day seminars. Bring your pass to the registration table for validation.
- KCMBA members and potential members are faxed CLE notices as a service. To discontinue this service please call (816) 474-4322 ext. 313

Register Me!

Securities Arbitration

E# 403

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4 Ways to Register

- Mail registration form with check or credit card information to KCMBA, 1125 Grand Blvd., Ste. 400, Kansas City, MO 64106.
- Phone registration with credit card to KCMBA at (816) 474-4322.
- Fax registration with credit card to KCMBA at (816) 474-0103.
- Visit the CLE Registration page at www.kcmba.org to register on-line.