

NASAA 2019 Fall Annual Meeting
The Hyatt Regency Austin
September 7 - 10, 2019
Theme: 100 Year of Protecting Investors

Saturday, September 7, 2019

7:30 a.m. - 9 a.m.	Board of Directors' Breakfast . <i>Foothills II, 17th Floor</i>
9 a.m. - 5 p.m.	Board of Directors' Meeting <i>Foothills II, 17th Floor</i>
10:30 a.m. - 10:45 a.m.	Morning Refreshment Break <i>Foothills II, 17th Floor</i>
12:15 p.m. - 1:15 p.m.	Board of Directors' Lunch <i>Foothills II, 17th Floor</i>
3:15 p.m. - 3:30 p.m.	Afternoon Refreshment Break <i>Foothills II, 17th Floor</i>
6 p.m. - 9 p.m.	Board of Directors' Dinner

Sunday, September 8, 2019

7:30. - 9 a.m.	Breakfast <i>Texas Ballroom, Second Floor</i>
8 a.m. - 9 a.m.	New Members Breakfast <i>Hill Country Ballroom C, First Floor</i>
8 a.m. - 9 a.m.	Paralegal Roundtable <i>Texas Ballroom 4-7, Second Floor</i>
9 a.m. - 11:30 a.m.	NASAA Business Meeting (closed, members only) <i>Texas Ballroom 1-3, Second Floor</i>
11:30 a.m. - 12:30 p.m.	Lunch <i>Zilker Ballroom 3-4, First Floor</i>
12:30 p.m. - 1:15 p.m.	Opening Ceremonies <i>Zilker Ballroom 1-2, First Floor</i>
1:15 p.m. - 2:15 p.m.	Panel #1: Standards of Care/Reg BI – An Interview with the SEC's Investor Advocate <i>Andrea Seidt, Commissioner, Ohio Division of Securities</i> <i>Interviewee and Rick Fleming, U.S. Securities and Exchange</i> <i>Commission</i> <i>Zilker Ballroom 1-2, First Floor</i>
2:15 p.m. - 2:30 p.m.	Networking Break <i>Texas Ballroom, Second Floor</i>

2:30 p.m. - 3:30 p.m.	Investment Adviser Forum <i>Texas Ballroom 4-7, Second Floor</i>
3:30 p.m. - 3:45 p.m.	Networking Break <i>Texas Ballroom, Second Floor</i>
3:45 p.m. - 4:45 p.m.	Joint Web CRD/IARD Forum <i>Texas Ballroom 4-7, Second Floor</i>
6 p.m. - 7:30 p.m.	Welcome Reception <i>Zilker Terrace, Second Floor</i>

Monday, September 9, 2019

8:30 a.m. - 9:30 a.m.	<i>Breakfast</i>
9:30 a.m. - 10:30 a.m.	Investor Education Forum <i>Texas Ballroom 4-7, Second Floor</i>
10:30 a.m. - 10:45 a.m.	Morning Refreshment Break
10:45a.m. - 11:45 p.m.	Panel #2: A True David and Goliath Story: How State Securities Regulators Tackled a Wall Street Giant <i>Moderator: Amanda Senn, Alabama Securities Commission</i> <i>Panelists: Kurt Eichenwald, Author: The Serpent on the Rock; Wayne Klein, Klein & Associates and former Idaho and Utah Securities Commissioner and State Task Force Leader; Nancy Smith, AARP and former New Mexico Securities Commissioner and Task Force Member; Matt Neubert, Executive Director, Arizona Corporation Commission and Task Force Member.</i> <i>Zilker Ballroom 1-2, First Floor</i>
11:45 p.m. - 1:15 p.m.	Luncheon with Featured Speaker <i>Robert Cook, FINRA</i> <i>Zilker Ballroom 3-4, First Floor</i>
1:15 p.m. - 1:30 p.m.	Break
1:30 p.m. - 2:30 p.m.	Corporation Finance Section Forum <i>Texas Ballroom 4-7, Second Floor</i>
2:30 p.m. - 2:45 p.m.	Refreshment Break
2:45 p.m. - 4 p.m.	Panel #3: Enforcement and Examination Initiatives to Protect Retail Investors <i>Moderator: Travis Iles, Texas State Securities Board</i> <i>Panelists: Susan Schroeder, FINRA; Peter Driscoll, U.S. Securities and Exchange Commission; Chris Gerold, New Jersey Bureau of Securities</i> <i>Zilker Ballroom 1-2, First Floor</i>
4 p.m. - 5:30 p.m.	ABA State Regulation of Securities Committee Meeting <i>Texas Ballroom 4-7, Second Floor</i>

6:30 p.m. - 8:30 p.m.

Offsite Reception - Cooper's Old Time Pit BBQ

Tuesday, September 10, 2019

7:30 a.m. - 8:30 a.m.

Breakfast

8:30 a.m. - 10:30 a.m.

NASAA Business Meeting (closed, members only)

Texas Ballroom 1-3, Second Floor

10:30 a.m. - 10:45 a.m.

Morning Refreshment Break

10:45 a.m. - 11:45 p.m.

Panel #4: International Regulatory Update

Moderator: Sharon Kelly, Quebec Autorité des Marchés Financiers

Panelists: Laura Belloni, Secretary General, Canadian Securities

Administrators; Final Panelist TBD

Zilker Ballroom 1-2, First Floor

11:45 p.m. - 1 p.m.

Presidential Luncheon and Award Ceremony

Zilker Ballroom 3-4, First Floor

1 p.m. - 1:15 p.m.

Break

1:15 p.m. - 2:15 p.m.

Broker-Dealer Section Forum

Texas Ballroom 4-7, Second Floor

2:15 p.m. - 2:30 p.m.

Refreshment Break

Texas Ballroom, Second Floor

2:30 p.m. - 3:30 p.m.

Enforcement Section Forum

Texas Ballroom 4-7, Second Floor

3:45 p.m. - 4:45 p.m.

NASAA Board of Directors Meeting

Foothills 1, 17th Floor

5:30 p.m. - 8:30 p.m.

President's Reception and Dinner

Zilker Ballroom 3-4, First Floor