

42nd Annual Northwest Securities Institute



ORIGINAL PROGRAM DATE

May 13, 2022

AVAILABLE MEDIA TYPES

Video & Audio MP3

*Presented in partnership with WSBA
Business Law Section*

REPORTING YOUR CREDIT

This on-demand seminar was originally presented as a live webcast on May 13, 2022, in Seattle, WA. If you attended the live webcast and reported CLE credits, you cannot also report credits from watching or listening to this recording if repeated within your three year reporting period.

DESCRIPTION

In this year's interesting and enlightening Institute enjoy presentations from practitioners from across the Pacific Northwest discussing timely Securities topics and developments.

AGENDA

1 State and Provincial Regulatory Update

Learn essential information about new regulatory developments from our region's state and provincial regulators.

AK - Leif Haugen - Alaska Department of Commerce, Community, and Economic Development, Anchorage, AK

BC - John Hinze - British Columbia Securities Commission, Vancouver, BC

ID - Loren Messerly - Idaho Department of Finance, Boise, ID

OR - Dorothy Bean - Oregon Department of Consumer & Business Services, Salem, OR

WA - Brian Guerard - Washington Department of Financial Institutions, Olympia, WA

2 SEC Updates

Staff from the Securities and Exchange Commission will provide updates on federal developments.

Monique Winkler - Securities and Exchange Commission, San Francisco, CA

Tamara Brightwell - Securities and Exchange Commission, San Francisco, CA

Moderator: *Carlos Vasquez - Securities and Exchange Commission, San Francisco, CA*

3 Alternative Financing Methods

Panelists will discuss a variety of alternative financing methods, including revenue loans, EB-5 offerings, Regulation A Tier 2 offerings, crowdfunding, and the issuance of trust interests in IRC § 1031 exchanges.

John A. Myer, Myer Law PLLC, Seattle, WA

Daniel Neuman, Carney Badley Spellman P.S., Seattle, WA

Erich W. Merrill Jr, Miller Nash LLP, Portland, OR

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4 **US/Canada Cross-Border Securities Issues**

Understand complex cross-border issues and hear from two practitioners who are faced with them frequently.

Kris Miks - Norton Rose Fulbright Canada LLP, Vancouver, BC

Will Davis - Norton Rose Fulbright US LLP, Houston TX

5 **Current Developments**

Hear about crucial current developments from a leader in the field.

Andrew Ledbetter - DLA Piper LLP, Seattle, WA

6 **Legal Ethics Issues Concerning Securities - Issuance, Placement and Investigation**

Enjoy an interesting and pertinent presentation focusing on ethics questions related to issuance, placement and investigation.

Bruce Hamlin - Lane Powell, Portland, OR