

# 2020 Ohio Securities Conference

“What’s Next?”

*Sponsored by*

Ohio Division of Securities & The University of Toledo College of Law

## CONFERENCE AGENDA

### 8:30 – 8:45 A.M. WELCOME

**Andrea Seidt**, Commissioner, Ohio Division of Securities

### 8:45 – 9:30 REGULATORY COMPETITION OVER PRO-INVESTOR REFORMS. WHO REALLY HAS INVESTORS’ BACKS?

**Commissioner Seidt and Division Enforcement Attorney David Biemel** will discuss Regulation Best Interest – the core elements plus early industry reactions and regulatory observations from SEC, FINRA, and states – as well as analogous regulations from Department of Labor and the National Association of Insurance Commissioners (NAIC).

### 9:30 – 9:45 BREAK

### 9:45 – 10:30 THE POTENTIAL INCREASE IN SECURITIES LITIGATION DUE TO THE PANDEMIC

- **Eric Chaffee**, Professor, University of Toledo College of Law
- **David Meyer**, Founding Principal of Meyer Wilson Law Firm, Columbus

### 10:30 – 10:45 BREAK

### 10:45 – 11:30 ADAPTING BUSINESS OPERATIONS TO THE NEW NORMAL

Firm owners of various sizes discuss how they have adapted their businesses (staff, technology, client interaction/account service, etc.) in light of the pandemic and what they’re doing moving forward.

- **Elizabeth Scheiderer**, CFP, Senior Financial Advisor at NCA Financial Planners. Mayfield Heights, OH.
- **Megan Dalton**, CFP, Dalton Wealth Management. West Chester, OH.
- **Paul Dolce**, CFP, Founder & President of Financial Solutions, LLC. Dublin, OH.
- **Moderator: David Kuhr**, Founder & President of Green Bar Consulting. Beachwood, OH.

### 11:30 – 11:45 BREAK

### 11:45 – 12:45 DIVISION OF SECURITIES SECTION UPDATES

- **Anne Followell**, Licensing Chief Counsel – Discussion of licensing and exam programs, and current compliance topics.
- **Mark Heuerman**, Registration/Corporate Finance Chief Counsel – Update on small offerings, compliance and disclosure.
- **Janice Hitzeman**, Attorney Inspector – Overview of recent administrative and criminal cases filed this year.

### 12:45 – 1 P.M. CLOSING COMMENTS

### 1 P.M. CONFERENCE CONCLUDES



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