

SECURITIES EXPERTS ROUNDTABLE

ANNUAL MEETING AND CONFERENCE



July 28 & 29, 2017 | The Union League Club of Chicago

EVENT GUIDE

2016 - 2017 Directors

Jeffery E. Schaff
President
Term Expires in 2019

Ross Tulman
President Elect
Term Expires in 2019

Gerald A. Guild
Treasurer
Term Expires in 2017

Richard P. Ryder
Secretary
Term Expires in 2019

Hugh Cohen
Director
Term Expires in 2017

Elizabeth Falk
Director
Term Expires in 2018

Bruce S. Foerster
Director
Term Expires in 2018

Jack Herrmann
Director
Term Expires in 2017

David James Keogh
Director
Term Expires in 2019

Richard Leisner
Director
Term Expires in 2017

Craig Murray
Director
Term Expires in 2018

Past Presidents

2015-2016 Bruce Foerster
2014-2015 Richard Leisner
2013-2014 Stuart Ober
2012-2013 Jeffery Schaff
2011-2012 GG Genco
2010-2011 Gordon Yale

2009-2010 Patricia Koetting
2008-2009 Stan Meyerson
2007-2008 Richard Sandow
2006-2007 Ross Tulman
2005-2006 Mary Calhoun

Original Directors / Incorporators

Howard Berg*

Marvin G Breen*

Mary E Calhoun*

Elwood A Crandall

Edward B Horwitz*

Sidney D Krasner

Benjamin Lubin*

Alfred E Monahan*


Richard P Ryder

Richard Sandow

Ross P Tulman

Michael D Weiner

*SER Director Emeritus

The background of the page features a large, light gray circular seal. The seal contains the text "THE TRUTH AND SPEAK THE TRUTH" around the perimeter and "SECURITIES EXPERTS ROUNDTABLE" in the center. In the middle of the seal is a stylized figure of a person with arms raised, possibly representing a witness or a speaker.

**Securities Experts Roundtable (“SER”)
provides continuing professional education and promotes ethics and integrity among its
members while remaining dispute neutral as an organization.**

SER is a group of professionals with significant experience as testifying and consulting experts in securities, business and investment-related litigation. SER began as a 1992 gathering of eight experts who knew each other and found sharing their experiences and expertise beneficial. Early meetings set the stage for our annual member conference. Today SER conducts its business exempt from federal income tax under Section 501(c) (6) of the Internal Revenue Code.

SER has a demonstrated history of leadership in securities arbitration. In 2004 a founding member co-authored work on sequestration of experts at hearings which led to revision of the opening script. In 2012 SER identified instances of electronic eavesdropping in hearings which led to revision of the opening script. In 2014 SER alerted FINRA to the issue of "phantom retention of experts" which led FINRA to condemn this practice.

Members span the United States and have solid academic credentials and career accomplishments in accounting; asset/wealth management; business leadership and corporate governance; investment banking; corporate finance and capital markets; securities law; securities sales, trading and research and academe. SER encourages its members to adopt SER Best Practices of ethics and integrity, and its motto "Seek and Speak the Truth" - is our behavioral touchstone. An annual summer member conference, a dedicated web site, and ongoing member networking are the primary tools SER employs to maintain its premier position in the expert witness field.



Securities Experts Roundtable

25th Annual Conference & Membership Meeting

Agenda

Friday, July 28, 2017

8:00am - Noon	Board of Directors Meeting	Board Members Only
12:00 – 1:00pm	Registration and Buffet Lunch	Members and registered guests
1:00 – 1:30	Annual Membership Meeting <ul style="list-style-type: none">• Election of President-Elect and Directors• Officers' reports	Jeffery E. Schaff <i>President</i>
1:30 – 2:30	Conflicts and Contracts Expert conflicts – do they exist? A Roundtable discussion - plus a bonus session – how to improve your contract!	Richard Leisner Ross Tulman
2:30 – 2:45	Break	
2:45 – 4:00	FINRA Initiatives Update / SAC Filing Trends (aka The “Rick & Rick” Show) This lead-off session has been a staple at SER Conferences for many years. We are privileged to have as our guest speaker, Richard Berry. Rick's role will be to update attendees on rulemaking, transparency efforts, and other ongoing initiatives at the FINRA-ODR facility. FINRA has been active this year in moving forward on rule recommendations made by the Dispute Resolution Task Force, improvements to the arbitrator selection process, a paradigm shift to a mandatory Party Portal, vigorous arbitrator recruiting efforts, creating a robust monthly statistical report for the FINRA Website, and a new campaign aimed at greater operational transparency. Rick Ryder's role will be that of the “color” guy, providing intermittent commentary to Rick Berry's remarks with background highlights and statistical information.	Richard W. Berry, Esq. <i>Executive Vice President & Director of Dispute Resolution at FINRA</i> Richard P. Ryder, Esq. <i>Founder/President & Editor/Publisher of Securities Arbitration Commentator</i>

Programs and times are subject to change.



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4:00 – 4:15

Break

4:15-5:00

The Use of Technology: In Your Practice, In Case Preparation, At the Hearing

Tips on useful software and online resources including time tracking, researching, and expanding your network. Featured input from business writer Marla Rose on the do's and don'ts of speaking with the press and contributing to online networks and publications.

Patricia Koetting

Marla Rose, *business reporter*
The Columbus Dispatch

Adjourn and freshen up

5:30 – 6:30

Cocktail Reception: The Union League Club, Chicago

Dress code: dress or pants suit for ladies/
coat and tie for men.

An opportunity to network, form new friendships and renew/burnish existing ones.

Members and registered guests

6:30 – 9:30

Annual Dinner: The Union League Club, Chicago

Fine dining with a champagne toast to honor 25th anniversary, followed by discussion and questions with Keynote speakers Mark E. Maddox and Lauri Scoran.

Members and registered guests

Keynote Speakers:

Mark E. Maddox, *former*
Securities Commissioner for the
State of Indiana and founder of
Maddox Hargett & Caruso, P.C.

Lauri Scoran, *Managing Director*
and Chief Compliance Officer for
Jefferies Group LLC



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Saturday, July 29, 2017

8:00 – 9:00am	Buffet Breakfast	Members and registered guests
9:00 – 9:50	Due Diligence Due diligence is central to the investment banking new issue process for private placements (and public offerings). It is an art not a science, however, and conducting it in a professional manner is really hard work. SER is most fortunate to have three people steeped in the customs and traditions of due diligence from a regulatory and a conduct perspective who will share their views and experiences with us. SER member Bruce Foerster, with almost 45 years of experience in the conduct and supervision of due diligence, will moderate a discussion between Joseph E. (“Joe”) Price, Senior Vice President Corporate Financing/Advertising Regulation, FINRA, for the past 20+ years and SER member Gordon Yale, whose investment banking career spans the last 28 years.	Bruce S. Foerster , <i>chair</i> Gordon Yale Joseph E. Price, Esq. , <i>Senior Vice President, Corporate Financing/Advertising Regulation at FINRA</i>
9:50 – 10:05	Break	
10:05 – 10:55	Fixed Income Cases: Interest Rates Up? Next Big Wave	Jerry Denigris Gerald A. Guild
10:55 – 11:10	Break	
11:10 – 12:00pm	Investment Advisor v Broker-Dealer Cases What are the differences in the standards of care of brokers and investment advisors? How should RIA cases be approached differently than broker cases? This panel will explore these issues, and give specific insights and advice on the topic of RIA cases.	Jeffery E. Schaff , <i>chair</i> Geraldine Genco Dube Sander Ressler

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12:00 – 1:00

Buffet Lunch

1:00 – 2:15

Testifying Competition: Part I

Given a hypothetical fact pattern, the competing experts will encounter formidable examination from two of the most accomplished legal practitioners in securities litigation.

Moderator:

Stanley Meyerson

Legal Practitioners:

Bruce M. Lewitas, Esq.

of Greenberg Traurig

Mark E. Maddox, Esq.

of Maddox, Hargett & Caruso

2:15 – 2:30

Break

2:30 – 3:45

Testifying Competition: Part II

3:45 - 4:00

Testifying Competition Awards

4:00 - 4:15

Break

4:00 – 5:00

Members' Roundtable

Annual informal but candid "give and take" session. Members can relate delicate case "war stories" to identify issues that are likely to surface during interaction with client's attorney and/or client and during expert deposition, hearing/trial testimony and report writing.

Moderator:

Ross Tulman

5:00

Adjourn and freshen up

6:30 – 9:00

**Post-Conference add-on Dinner,
Vivere: Contemporary Italian Dining
71 W. Monroe, Chicago, IL**



Securities Experts Roundtable

25th Annual Conference & Membership Meeting

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Richard W. Berry is FINRA's Executive Vice President and Director of Dispute Resolution. Prior to serving in this capacity, Mr. Berry was Senior Vice President, Dispute Resolution. In that role, he oversaw the four regional offices—New York, Boca Raton, Chicago and Los Angeles—and the New York Case Administration unit. Mr. Berry joined FINRA, then NASD, in 1995 as head of Dispute Resolution's Los Angeles office. In 2001, he was named Director of Case Administration in the New York City office. Prior to joining FINRA, he taught American law for one year in Budapest. Mr. Berry began his career practicing law in San Francisco. He is a graduate of the University of California at Santa Barbara and Hastings College of the Law. Mr. Berry is a member of the California Bar.



Jerry DeNigris has over 25 years of experience in the securities industry. He provides security/trading analysis, suitability reviews, compliance-style active account reviews and expert testimony for our clients. He also consults with clients regarding their ongoing compliance and litigation support requirements. Jerry gained his compliance experience as a Compliance Officer in the Capital Markets Compliance group at UBS/PaineWebber. In this position he created and oversaw the implementation of surveillance and suitability procedures for large retail and institutional accounts and was involved in mark-up analysis and retail fixed income suitability approvals. In addition, Jerry ensured compliance with SRO regulations by maintaining constant contact with the capital markets trading desks and drafted policies and procedures in response to new SRO requirements. Before serving as Compliance Officer, Jerry DeNigris was a trading analyst in the legal department. In this capacity, he prepared detailed analysis of trading activity and testified as an expert witness at NASD, NYSE and AAA arbitration hearings and mediations.



Bruce Foerster A.B. English, Haverford College (1963); M.B.A. Management Information and Control, University of Pennsylvania Wharton School of Finance and Commerce (1971). Commissioned officer, U.S. Navy: 7 active, 20 years reserve duty; retired Captain. 23 years with 5 Wall Street firms: Birr, Wilson; H.C. Wainwright; Warburg Paribas Becker/A.G. Becker; PaineWebber; Lehman Brothers in equity and fixed income syndicate/capital markets. Chaired Securities Industry Association (SIA, now SIFMA); Syndicate Committee and National Association of Securities Dealers (NASD, now FINRA); Corporate Financing Committee; founding chair SIA NY District Economic Education Foundation. Founded South Beach Capital Markets Advisory Corporation (SBC), Miami Beach FL corporate financial advisory firm (1995). Independent director of 9 mutual funds, non-industry governor of Philadelphia Stock Exchange and director of 15 other public, private and not-for-profit organizations. Merged SBC with Milwaukee broker-dealer to create South Beach Capital Markets Incorporated - investment bank/broker dealer, Miami. Joined Aurora Capital (sub-prime auto finance) as chief financial officer. Re-activated SBC in 2006 to advise CEOs, CFOs, boards of public and private companies. Lectures/speaks on IPO Process, Capital Markets Access, Investment Banking Industry; wealth management and corporate ethics/corporate governance. Faculty member, University of Florida Warrington College of Business Administration, Hough Graduate School of Business. FINRA dispute resolution arbitrator; conducts investment banking/capital markets/corporate governance expert witness practice; contributor to Bloomberg TV/Radio, CNN, FOX Business and NPR; independent director of Cabrera Capital Markets; founder and co-editor of Capital Markets Handbook, industry primer in sixth edition, 2015 revision.



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Geraldine Genco Dube (“GG”) Dube has provided Compliance Consulting & Expert Witness services since 1991. Her career began in 1987 in New York City with a private banking affiliate of Chemical Bank. She is a registered RR & RIA; has been retained for more than 400 cases and testified over 100 times. Her services include Customized Compliance Support, Case evaluations, AML Certification, and Custom RIA Brochures. She is a FINRA Arbitrator, Mayor emeritus for Tequesta, FL., and has served on the Board of several Pension funds. Also a former Board Member for the Loxahatchee River Coordinating Council, an agency created by the State of Florida operating under federal guidelines. Former Board Member for the Securities Experts Roundtable (until August 2013) she has served several other nonprofit agencies in various capacities.



Gerry Guild’s expertise includes both equity and fixed income from sales, analyst, and trading points of view. He has covered the entire spectrum of accounts from the smallest individual investors to the largest institutions in the US from all three of these disciplines. As both a branch manager and product manager he has extensive experience in supervisory matters, including marginability and risk assessment. As a Director of a brokerage company Mr. Guild was involved in the creation and implementation of a wide variety of investment products offered by the investment executives to the firm’s clients. One of these was a wrap fee program where selected IRs were allowed to solicit accounts that were managed by them or outside managers. This also involved setting out firm policy in fixed income products including mark-up and mark-down guidelines. Mr. Guild has been the Chief Fixed Income Strategist for several firms, hosted national bond conferences, and appeared widely in the press as well as radio and television. He often spoke at seminars on portfolio strategy and asset allocation at many branch offices attended by the public and taught many courses on economics and fixed income securities at two academic institutions. He is, and has been for many years, a member of the New York Society of Security Analysts, the CFA Institute, and Life member of the Fixed Income Analysts Society.



Patricia Koetting has 32 years experience providing statistical analysis of investment accounts for securities attorneys and expert witnesses on behalf of claimants or respondents. She has been retained in over 1,800 cases analyzing over 5,000 accounts. Her area of expertise is account analysis and damage calculations on investments including stocks, bonds, options, mutual funds, annuities, structured products and commodities. Prior to setting up private practice, Patricia was hired by Smith Barney to set up the account analysis division within the firm's legal department. She has a BS in Finance from NYU Stern School of Business. Patricia is a former SER board member and current Controller of the organization.



Richard M. Leisner is an experienced expert witness in complex litigation involving corporate, securities and business law issues, including legal malpractice. For many years Richard has enjoyed a broad-based transactions practice with Trenam Law, a Tampa-based law firm. As the firm’s senior securities lawyer, Richard’s practice has encompassed virtually all stages of the life cycle for private and public companies and their leaders and owners. Richard’s experience includes start-ups, venture capital, private equity, Regulation D private placements, IPOs, ongoing public company obligations, executive employment and equity-based benefits (stock options, restricted stock, etc.), M&A transactions and other reorganizations, investment advisers, investment companies and SEC investigations, corporate governance, fiduciary duties and related party conflict-of-interest transactions. This real world experience is the foundation for Richard’s expert witness work.



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Bruce M. Lewitas, a former SEC Enforcement attorney, represents major broker-dealers, their officers and employees in FINRA arbitrations, state and Federal courts, and regulatory proceedings pursued by the SEC, FINRA, and various states. He has substantial experience representing clients in sales practice and employment-related litigation and arbitration proceedings involving a variety of claims, such as breach of fiduciary duty, fraud, defamation, wrongful termination, breach of contract, and violation of various federal and state laws and industry regulations. In addition, Bruce has handled numerous and complex investigations and disciplinary proceedings initiated by the SEC, FINRA, and various state regulators. He has also served as a mediator on a number of occasions. Prior to joining Greenberg Traurig, Bruce served as Executive Director and Unit-Head of Morgan Stanley's Midwest Litigation office, and was a Senior Attorney in the SEC Division of Enforcement.



Mark E. Maddox is the founder of Maddox Hargett & Caruso, P.C., one of the country's largest and most active firms representing aggrieved investors, where he concentrates his practice in securities law. Mr. Maddox also works vigorously on consumers' behalf in the public arena. He served as president of the Public Investors Arbitration Bar Association (PIABA) in 1998 and 2000 and on PIABA's board of directors for eight years from 1994 to 2002. Mr. Maddox remains active in PIABA and has also served on the NASD National Arbitration and Mediation Committee (NAMC) from 1996 through 1998 and again from 2002 through 2005. In 2004-2005, Mr. Maddox became the first member of the investor bar to be appointed Chairman of the NAMC. Mr. Maddox is a member of the Non-Public Arbitration Panel of the Financial Industry Regulatory Association. In addition, he is a member of the Indianapolis Bar Association and the Indiana State Bar Association. Mr. Maddox was selected by his peers as an Indiana Super Lawyer from 2002 – 2012. Over the years, Mr. Maddox has been a frequent lecturer for Continuing Legal Education on Securities Law, as well as an avid speaker at securities-related seminars. He is currently part of FINRA's new 13 member Arbitration Task Force for the year 2014.



Stanley Meyerson is a partner at Trade Investment Analysis Group. He offers consulting and analytical work and provides expert witness testimony in investment industry related disputes, especially employment related disputes. He has been providing expert witness and related services since 1989 and has appeared before almost 200 arbitration panels and court proceedings around the country. Mr. Meyerson has been engaged by law firms, BDs, insurance companies, banks, investors, and regulators. Prior to his affiliation with TIA Group, he was corporate counsel to two members firms and headed the Compliance and Litigation Regulatory Analysis Group at Smith Barney which was the firm's in-house expert witness team. Stan has served as the NASD and FINRA industry arbitrator since 1986. He was also a securities industry executive who earned eleven licenses during his career. He received his B.S. in Finance from St. John's University in New York, did graduate work at the St. John's University and Pace University Graduate schools of business and earned his Juris Doctor at the University of the State of New York, Touro College School of Law.



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Joseph E. Price is Senior Vice President, Corporate Financing/Advertising Regulation, at the Financial Industry Regulatory Authority. The FINRA Corporate Financing Department regulates capital-raising activities of broker/dealers; including equity, debt, REIT, closed-end fund, limited partnership offerings and private placements. The FINRA Advertising Regulation Department regulates broker/dealer sales materials, mutual fund advertisements, social media and other communications with the public. Joe previously worked in various capacities at the Securities and Exchange Commission. He was an Assistant General Counsel and a Special Counsel in the Office of General Counsel and he was the Deputy Chief of the Office of Disclosure and Investment Adviser Regulation in the Division of Investment Management. Prior to working at the SEC, he was a litigator in the Bureau of Competition at the Federal Trade Commission. Joe also worked as a Compliance Investigator at the Coffee, Sugar & Cocoa Exchange. He was an Adjunct Professor at Georgetown University Law Center from 1994 to 2002, where he taught “Current Issues in Securities Regulation” and “Disclosure under the Federal Securities Laws.” He graduated with distinction in economics from the University of Wisconsin and received his J.D. from Fordham University.



Sander Ressler's expertise in financial services compliance and operations is both broad and deep. He has more than 20 years of hands-on, frontline experience with broker/dealers and registered investment advisers. Sander began his career working for a regulator and subsequently has worked in senior compliance positions for financial services companies including but not limited to American Express, American General Life Insurance, AIG, ING and Societe Generale. Sander has led more than 20 regulatory examinations conducted by the SEC, FINRA, and various state departments governing banking, securities and insurance. Since Sander started his consulting practice he has focused his efforts on assisting financial institutions with numerous compliance-related issues. In addition, Sander has worked with securities attorneys providing assistance in case preparation and expert witness testimony. Sander currently holds the Series 7, 24 and 63 securities licenses. Sander previously held the Series 3, 4, 8, 9, 14, 53 and 65 licenses.



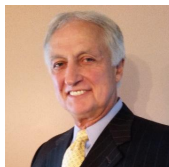
Marla Rose is a business reporter for The Columbus Dispatch in Columbus, Ohio. She previously worked at publications including the Cincinnati Enquirer, the Los Angeles Times, the Hollywood Reporter and Forbes magazine. She authored a nonfiction book published by St. Martin's Press in 2001 and has had freelance articles appear in such publications as Entertainment Weekly and US News and World Report. Marla holds a B.A. in American studies from Ohio Wesleyan University. She is currently studying for a Masters of Science degree in communication at Purdue University's Brian Lamb School of Communication.



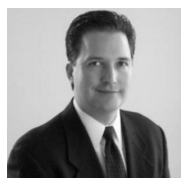
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Richard P. Ryder is President/Founder of Securities Arbitration Commentator, Inc., and the editor/publisher of three newsletters, *Securities Arbitration Commentator*, *Securities Arbitration Alert* and *SAC's Online Litigation Alert*. He served with the NASD for seven years as New York District Counsel among other positions, and later as Director of Arbitration in charge of the NASD's nationwide arbitration program. From 1982 through 1988, he was head of litigation and Associate General Counsel for PaineWebber, Inc. Mr. Ryder also participates in the arbitration process as an arbitrator and mediator and appears as a speaker on the subjects of securities arbitration and litigation from time to time. Mr. Ryder earned his J.D. degree from New York University School of Law.



Jeffery E. Schaff, AIFA™ With over 25 years in the financial services industry, wearing various hats, Jeffery has developed a broad range of experience. Investment fiduciary responsibilities became his forte, exhibited in scores of fiduciary related expert witness cases amongst hundreds of engagements. Jeffery earned the Certified Fiduciary Auditor accreditation in the inaugural class conducted by the Center for Fiduciary Studies through the Katz Graduate School of Management at the University of Pittsburgh. He later earned the successor credential, Accredited Investment Fiduciary Analyst (AIFA™), in the inaugural class conducted by fi360, the leader in fiduciary education and certification. Jeffery additionally provides fiduciary services as an investment advisor supervising and monitoring client portfolios. Jeffery's case history includes fiduciary issues related to investment advisors, trustees, attorneys, employee benefit plans, and de facto fiduciaries.



Lauri Scoran is currently Managing Director and Chief Compliance Officer at Jefferies LLC, where she is responsible for overseeing all aspects of the compliance programs for multiple Jefferies broker dealers and swap dealers, as well as for the Firm's futures commission merchant and asset management affiliates. She is also the Chief Compliance Officer of Leucadia Asset Management, LLC. Lauri advises the Firm's various business lines and functional areas on a wide range of compliance and regulatory matters and interacts frequently with the Firm's regulators. Lauri has more than 25 years of compliance experience including senior compliance roles at Merrill Lynch, Credit Suisse (formerly DLJ) and Smith Barney. She has extensive product knowledge with investment banking, origination, research, sales and trading of all equity, debt, futures, foreign exchange, commodity, exchange traded and OTC derivative and structured products. Her broad experience also includes expertise in broker-dealer financial and operations compliance regulation and investment advisory compliance including registration and regulation of fund managers and private funds. Lauri is a member of FINRA's Compliance Advisory Committee (CAC), where she provides input regarding the effect of current and proposed securities rules and regulations on members engaged in retail, institutional and investment banking activities. Lauri is also a member of the Executive Committee SIFMA's Compliance & Legal Society and Vice President of Strategic Planning. She has also participated on other SIFMA committees and working groups and with numerous industry working groups. Lauri holds the following licenses: Series 7, Series 4, Series 9 & 10, Series 14, Series 24 and hold a Partners, Directors and Senior Officers designation in Canada



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Ross Tulman is the Senior Partner of Trade Investment Analysis Group in Columbus, Ohio, providing expert witness services to counsel engaged in securities arbitration and litigation. Mr. Tulman has been an active participant in the dispute resolution process for twenty-five years. He began his career as an expert witness after the 1987 stock market crash. He has been retained to consult and testify regarding the full spectrum of issues frequently contested in the financial services industry including profit and loss analysis, damages, churning, suitability, standards and practices, misrepresentations/omissions, supervision and compliance. He has provided testimony in both state and Federal court, and in arbitrations before FINRA, other SRO fora, AAA, and JAMS. He is one of the few experts who is routinely consulted and retained on behalf of both claimants and respondents. He has appeared in numerous high profile interesting and complex matters. Mr. Tulman is an accomplished speaker and author. He serves as an arbitrator for FINRA and the NFA, and occasionally has been retained as a mediator. He is an active member and past officer of the Securities Experts Roundtable. Mr. Tulman earned a BA in English from Emory University and an MBA in Tax and Finance from Xavier University. He is an SEC registered investment adviser.



Gordon Yale is the principal of Yale, LLC a Denver-based forensic accounting and financial consulting firm specializing in securities fraud and professional negligence as well as president of Yale Group, Inc., a boutique investment bank. Mr. Yale, a former securities analyst, has served as a special investigative consultant to the Securities and Exchange Commission, the states of Colorado, Florida and Hawaii, and as an expert for both plaintiffs and defendants in many civil matters on behalf of institutional and other clients. Most recently, Mr. Yale has been engaged by claimants' counsel in scores of Medical Capital, Provident Royalties, DBSI and other alternative investment claims involving adequacy of due diligence and adequacy of disclosure. Mr. Yale has also been engaged by SEC-appointed receivers, has advised creditors' committees in a variety of settings and has conducted internal investigations on behalf of publicly-held companies. Mr. Yale He has provided expert consulting or testimony in matters involving Bear Stearns, Angelo Mozilo as well as a Madoff feeder fund. Mr. Yale has extensive experience analyzing debt and equity securities and has written on accounting and auditing issues for both business publications and professional journals, including Financial Executives International Research Foundation American Banker, Fraud Magazine, the Journal of Credit Risk Management and the American Bar Association Officer's and Director's Liability Law Journal. Mr. Yale is a past president and board member of the Securities Experts Roundtable and was the Alumnus of the Year of the School of Accountancy of the University of Denver.



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Attendees

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UPCOMING EVENT

26TH ANNUAL MEETING & CONFERENCE
SUMMER 2018
UNIVERSITY CLUB OF WASHINGTON D.C.



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