



# 2012 New England Securities Conference

*for Regulators, Investigators and Prosecutors*

**Boston, Massachusetts  
October 10-11, 2012**

*Co-sponsors:*

*Federal Bureau of Investigation, Boston Field Office*

*Office of the Secretary of the Commonwealth, Massachusetts Securities Division*

*U.S. Attorney's Office, District of Massachusetts*

*U.S. Securities and Exchange Commission, Boston Regional Office*



## 2012 New England Securities Conference for Regulators, Investigators and Prosecutors

Dear Colleagues:

Please join us for the *2012 New England Securities Conference for Regulators, Investigators and Prosecutors* in Boston, Massachusetts on October 10-11, 2012. This conference is designed to foster meaningful collaborative relationships among state and federal regulators, investigators and prosecutors in the complex and evolving environment of securities regulation and financial product innovation. The conference will provide a significant opportunity for participants to interact with a dynamic group of expert panelists and speakers.

The conference will open with a welcome reception from 5:00 to 7:00 p.m. on the evening of the 10th at the John J. Moakley Federal Courthouse in Boston with remarks given by United States Attorney Carmen Ortiz and Richard DesLauriers, Special Agent in Charge of the Federal Bureau of Investigation, Boston Field Division. The conference will continue with substantive panel and break-out discussions on Thursday, October 11th from 9:00 a.m. to 4:00 p.m. at the Federal Reserve Bank of Boston. David Bergers, Director of the SEC Boston Regional Office, will provide opening remarks, introductions of the keynote speakers, William Francis Galvin, Massachusetts Secretary of the Commonwealth, and Robert Khuzami, Director of Enforcement, Securities and Exchange Commission, and will moderate throughout the day. The topic for the morning presentation on the 11th is *War Stories: Joint Cases and Investigations*, moderated by David Fein, U.S. Attorney, District of Connecticut. The program will offer four breakout sessions for discussion on *Threats and Trends in the Electronic Age*, *JOBS Act and Regulatory Update*, *Insider Trading — Galleon Trial Team*, and *Manning the Frontline: Whistleblowers & Tips*.

We welcome you and your colleagues to join us in Boston for the *2012 New England Securities Conference for Regulators, Investigators and Prosecutors*. Please see the attached conference agenda and information sheet for further details. Registration is requested by **October 2, 2012**. Please fill out the [online registration form](#) for each participant from your agency who plans to attend.

Sincerely,

**Richard DesLauriers**  
Federal Bureau of Investigation  
Special Agent in Charge, Boston Field Office

**Carmen M. Ortiz**  
United States Attorney  
District of Massachusetts

**Bryan J. Lantagne, Director**  
Massachusetts Securities Division  
Office of the Secretary of the Commonwealth

**David P. Bergers, Director**  
Boston Regional Office  
U.S. Securities and Exchange Commission

# Preliminary Conference Agenda

## **October 10, 2012**    **John Joseph Moakley United States Courthouse, 1 Courthouse Way, Boston, MA**

5:00 – 7:00 p.m.    **Welcome Reception** – Remarks by Carmen M. Ortiz, United States Attorney for the District of Massachusetts, and Richard DesLauriers, Special Agent in Charge of the Federal Bureau of Investigation, Boston Field Division

## **October 11, 2012**    **Federal Reserve Plaza, 600 Atlantic Avenue, Boston, MA**

8:00 a.m.    Security Check-In and Registration

9:00 a.m.    **Welcome Remarks** – David P. Bergers, Regional Director, U.S. Securities and Exchange Commission

9:10 a.m.    **Keynote Address** – The Honorable William Francis Galvin, Massachusetts Secretary of the Commonwealth

9:20 a.m.    **Keynote Address** – Robert Khuzami, Director of Enforcement, SEC

9:30 a.m.    **War Stories: Joint Cases and Investigations (panel presentation)**

Panelists: Jack Pirozzolo, First Assistant U.S. Attorney, District of Massachusetts; Rua Kelly, Senior Trial Counsel, SEC; Patrick Ahearn, Chief of Enforcement, Massachusetts Securities Division; and LeeAnn Gaunt, Assistant Regional Director, SEC. Moderated by David Fein, U.S. Attorney, District of Connecticut

10:45 a.m.    Break

11:00 a.m.    **Breakout Sessions**

Option One: **Threats and Trends in the Electronic Age**

Panelists: Larry Tabb, CEO, The Tabb Group; Dr. Andrew Lo, Massachusetts Institute of Technology; Matthew Wong, High Frequency Trading Specialist, Market Abuse Unit, SEC and Sofia Hussain, Senior Forensic Accountant, SEC. Moderated by Amy Burkart, Assistant U.S. Attorney, District of Massachusetts

Option Two: **JOBS Act and Regulatory Update**

Panelists: Heath Abshire, Arkansas Securities Commissioner and NASAA President; John Coates, Harvard Law School; Peter Cassidy, Corporate Finance Attorney, Massachusetts Securities Division. Moderated by Diane Young-Spitzer, Associate Director and General Counsel, Massachusetts Securities Division

12:00 p.m.    **Interactive Presentation**; Lunch and Networking

1:45 p.m.    **Plenary**; TBD

2:15 p.m.    **Transition to Breakout**

2:20 p.m.    **Breakout Sessions**

Option One: **Insider Trading/Expert Networks – Galleon Trial Team**

Panelists: Reed Brodsky, Assistant U.S. Attorney for the Southern District of New York; James C. Barnacle, Jr., Supervisory Special Agent, FBI Headquarters; Tony Drenzek, Associate Director – Registrations, Inspections, Compliance and Examinations Section, Massachusetts Securities Division; Colleen Lynch, Assistant Regional Director, Philadelphia Regional Office, SEC. Moderated by Paul Levenson, Assistant U.S. Attorney, District of Massachusetts.

Option Two: **Manning the Frontlines: Whistleblowers & Tips**

Panelists: Sean McKessy, Chief of the Whistleblower Office, SEC; Joseph Ozag, Director, Office of the Whistleblower, FINRA; Lori Walsh, Chief of the Office of Market Intelligence, SEC; and Bryan Smith, Supervisory Agent FBI, FBI Detainee, Office of Market Intelligence, SEC. Moderated by Michael Garrity, Associate Regional Director of Examinations, SEC Boston Regional Office.

3:20 p.m.    Closeout/Evaluations/Networking

*Please note: Some panels may include additional panelists who have been invited, but have not yet confirmed.*

# Conference Information

## Event Locations

### Wednesday, October 10, 2012

#### Welcome Reception

The **John Joseph Moakley United States Courthouse**, One Courthouse Way, Boston from 5:00–7:00 p.m. *Photo identification required. Cellphones and computers cannot be brought into the courthouse and must be checked at the front desk.*

The John Joseph Moakley United States Courthouse, home to our Federal courts, is located in the heart of Boston's waterfront Seaport District on Fan Pier and situated along Boston's Harborwalk system. The entrance is located on Old Northern Avenue near the intersection of Courthouse Way. Ample parking is available adjacent to the Courthouse on Northern Avenue and the Fan Pier. Parking fees are \$15.00 per day. For further information on directions, please visit: [www.moakleycourthouse.com](http://www.moakleycourthouse.com)

### Thursday, October 11, 2012

#### 2012 New England Securities Conference for Regulators, Investigators and Prosecutors

The **Federal Reserve Bank of Boston**, 600 Atlantic Avenue, Boston from 9:00 a.m.- 4:00 p.m. Participants must pre-register for the conference in order to check-in through security at the Federal Reserve Building on October 11. **Please note that security screening and check-in will begin at 8:00 a.m. Attendees should budget a little bit of extra time in case there is a line at security.** *Photo identification required.*

The Federal Reserve Bank of Boston is located on Atlantic Avenue, across from South Station. The Boston Fed is easily accessible by the MBTA's subway Red and Silver Lines as well as commuter rails. Take the Red or Silver Line or commuter rail to the South Station stop. The Boston Fed is the tall silver building located at the corner of Summer Street and Atlantic Avenue. For further information on directions, please visit: [www.bos.frb.org/about/directions.htm](http://www.bos.frb.org/about/directions.htm)

## Online Registration

Please complete the [online registration form](#) for each participant from your office who will be attending the conference. To ensure your registration for the conference, we must receive your response by **September 26, 2012.**

## Check-In

**Wednesday, October 10, 2012** — 5:00-6:00 p.m.  
John Joseph Moakley United States Courthouse

**Thursday, October 11, 2012** — 8:00–9:00 a.m.  
Federal Reserve Bank of Boston

Conference events are open to all registered attendees.

## Conference Fees

There are no fees for attending any of the educational sessions.

## Accommodations

A room block has been secured for the night of October 10th. Participants may reserve a room at the [Boston Park Plaza](#) located at 50 Park Plaza at Arlington Street, Boston, at the government rate of \$221. Participants may make their reservation [online](#) using the group code "USA" or they may call the hotel directly at 1-800-225-2008 **on or before Sunday, September 16, 2012.** If calling, guests must identify themselves as part of the U.S. Attorney's Office group. Limited rooms are available at this rate.

Participants may also reserve a room at the [Courtyard Boston Downtown/Tremont](#) located at 275 Tremont Street, Boston, at the rate of \$259. Participants may make their reservation [online](#) using group code "USAUSAA" or they may call the hotel directly at 1-800-321-2211 or 617-426-1400 **on or before Tuesday, September 11, 2012.** If calling, guests must identify themselves as part of the U.S. Attorney's Office group.

## Contact

Should you have any questions, please contact Joshua Grinspoon, SEC Attorney at 617-573-4502 or [grinspoonj@sec.gov](mailto:grinspoonj@sec.gov) or Ragan Willis, SEC Attorney at 617-573-4531 or [willisra@sec.gov](mailto:willisra@sec.gov).