2019 USLAW NETWORK
BANKING AND
FINANCIAL SERVICES
IN-HOUSE COUNSEL FORUM

Radisson Blu Minneapolis Downtown
Minneapolis, Minnesota
Wednesday, October 30, 2019
11:00 AM - 5:30 PM

Register Online at
http://web.uslaw.org/2019-banking-forum/
The 2019 USLAW NETWORK Banking and Financial Services In-House Counsel Forum is a half-day, highly interactive educational program that focuses on the areas of concern for banks and financial institutions. This Forum will bring together in-house counsel from financial institutions as well as USLAW NETWORK member attorneys. Program discussions will have an emphasis on regulatory and supervisory issues, working with those involved in the cannabis industry, consumer finance litigation, and managing data security and privacy risks. The exchange will promote discussion among participants and will be helpful for all banking attorneys. Please join us on October 30 in Minneapolis.

SCHEDULE AND SESSIONS

10:00 AM – 11:00 AM
Registration

11:00 AM – 11:10 AM
Welcome and Introductions

11:10 AM – 12:15 PM
2019 Regulatory Update
Joseph A. Smith, Jr. of Poyner Spruill LLP, a former North Carolina commissioner of banks, will lead an interactive discussion of the regulatory and supervisory issues facing financial institutions. Expected topics include: implementation of the 2018 federal regulatory reform bill; changes in leadership and enforcement/supervision priorities at federal regulatory and supervisory agencies; GSE reform; corporate governance; Fair Lending; AML / BSA; and other late-breaking developments. Joseph Witt, CEO of the Minnesota Bankers Association, will also join the discussion.

12:15 PM -1:00 PM
Networking Lunch

1:00 PM - 2:00 PM
Cannabis Cash: Budding New Banking Industry or Too Hot to Handle?
This presentation will introduce attendees to a number of issues banks must consider when making a decision on whether or not to provide financial services to a cannabis-related business or an individual involved in the cannabis industry. From an introduction to the Controlled Substances Act (the “CSA”) and penalties for violations of the CSA, including the seizure and forfeiture of cannabis-related assets, to a review of guidance issued by FinCEN directly to financial institutions considering providing services to cannabis-related businesses, attendees will learn the best practices for mitigating the risks associated with working with the cannabis industry. Finally, this section will summarize a number of federal and state-level legislative initiatives aimed at encouraging access to financial services for cannabis-related businesses and individuals involved in the cannabis industry.

2:00 PM - 3:00 PM
Protecting Elderly Customers from Financial Exploitation
Elder abuse is in the news in Minnesota this year with the passage of landmark legislation enhancing protections for seniors. This panel will explore the ongoing problem of financial fraud and scams targeting seniors, and the legal and ethical case for doing more to recognize and prevent financial exploitation of elderly customers.

3:00 PM – 3:20 PM
Afternoon Break

3:20 PM – 4:15 PM
Recent Developments in Consumer Finance Litigation
From ADA to TCPA, and everything in between, USLAW attorneys will lead a discussion with in-house counsel focusing on major litigation trends involving consumer finance and mortgage lending and servicing. Panelists will review recent class actions and enforcement actions and provide perspective on what they mean for financial institutions.

4:15 PM – 5:30 PM
Managing Data Security and Privacy Risks
Data security and privacy are top of mind for anyone focused on business risks. Join a discussion on best practices for mitigating and managing data security and privacy risk – from assessment and governance to vendor management and compliance – and how to integrate and document your approach to data risk management. Program will include a discussion of insurance coverage for these types of risks.

5:30 PM – 6:30 PM
Closing Reception
CLE ACCREDITATION

USLAW NETWORK will be offering national CLE credit for attorneys. All states are currently pending and all hours are approved or denied at the discretion of the state boards. We have partnered with CEU Institute as our CLE provider to manage all credits: www.ceuinstitute.net. Should you have questions, please contact accreditation@ceuinstitutenet.
In today’s global marketplace, legal needs often transcend geographic boundaries. To operate globally, you need to have an edge locally. This requires an in-depth understanding of local cultures, economies, laws, governments, trends and business climates. This kind of edge not only enhances your competitive position, but also allows you to anticipate – and even influence – changes in the market, and to react quickly and effectively.

Clients with these types of complex needs turn to USLAW NETWORK (USLAW) member firms to represent them in the courtroom and the boardroom, next door and across the United States and around the world. USLAW member firms are some of the most highly respected law firms in their respective jurisdictions. Each member firm is admitted only after substantial due diligence and are rigorously reviewed to ensure the meet USLAW quality service standards.

The collective expertise of USLAW member firms is impressive. National and international law firms, while they may have scores of offices, do not have access to the depth of the legal resources available through USLAW. As well, our lawyers know and respect each other. Through friendship, networking and resource-sharing, USLAW attorneys develop the type of cooperation and client-focused service that corporations demand of their legal counsel.
Why Choose USLAW Banking & Financial Services Law Firms?

The USLAW Banking & Financial Services Community offers clients a one-stop network of attorneys who thoroughly understand financial services and banking laws on a nationwide basis – and in some cases our group’s attorneys may have played a major role in helping to shape them. Our member attorneys stay current on general banking, financial services and regulatory matters, trends and laws in order to deliver relevant information to clients who use the NETWORK.

Our network of USLAW Banking & Financial Services attorneys assists banks and other financial institutions including traditional banks, insurance companies, and non-bank lenders through all phases of the credit life cycle as well as applicable regulatory compliance issues. The scope and quality of our work reflects a high level of familiarity with the credit structures and the issues confronting the finance industry. We assist financial institutions and borrowers in a wide variety of credit transactions, including corporate lending, secured and unsecured lending, equipment leasing, tax-exempt transactions, project financing, and letter-of-credit transactions.

Should the need arise, we offer banks and other financial institutions skilled, practical, and efficient representation to enforce their rights and remedies in state or federal court, regularly representing secured and unsecured creditors including banks, factors, insurance companies, manufacturers and other business clients in bankruptcy and workout matters. We provide for our lender-clients’ needs on all levels, from defending lender liability actions, to enforcing rights against borrowers in state courts and before the federal (including bankruptcy) courts.

Our group of USLAW Banking & Financial Services attorneys maintains working relationships with both state and federal regulators so we can effectively assist clients with services ranging from mergers and acquisitions to regulatory compliance and restructuring. Whether a client is a local community bank or a financial institution with assets ranging from several million to many billions of dollars, an insurance company or an online banking organization, clients can rely on the USLAW Banking & Financial Services attorneys for resources and guidance with their transactional and compliance needs.

Member firms are experienced in working with clients in a variety of matters, including:

- Bankruptcy
- Broker-dealer formation, registration, operation, compliance
- Commercial lending
- Dodd-Frank
- Federal and state securities regulation
- Foreclosures and asset liquidation
- Formations and capital raising alternatives
- International joint ventures with foreign brokers
- Management buyouts
- Mergers, acquisitions and divestitures
- Operations and Payments
- Public finance
- Public policy
- Regulatory compliance
- SEC compliance and reporting
- Venture capital finance
- Workouts
## REGISTRATION

Radisson Blu Minneapolis Downtown  
October 30, 2019 • 11:00 AM - 5:30PM

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**CONTINUING LEGAL EDUCATION (CLE) LIST YOUR STATE AND BAR NUMBER**

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**FOR QUESTIONS, PLEASE CALL**  
(800) 231-9110  
EXT. 3

**REGISTRATION DEADLINE:**  
WEDNESDAY, OCTOBER 23, 2019

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**Mail registration form to:**  
Jennifer Randall  
USLAW NETWORK  
BANKING FORUM  
3111 N University Drive  
Suite 400  
Coral Springs, FL 33065

**Fax registration form to:**  
(800) 231-9110

**Email registration information to:**  
jennifer@uslaw.org

**Register online at:**  
http://web.uslaw.org/  
2019-banking-forum/
HOTEL ACCOMMODATIONS:

USLAW is sensitive to Corporate Gift Policies. Please read carefully below and select the option that is appropriate per your organization’s guidelines.

- I request USLAW book a hotel room on my behalf. USLAW NETWORK will pay for (1) night, October 30th.
- I request USLAW book a hotel room on my behalf; however, I will pay the cost of the room.
- I will book my own hotel room and understand that USLAW will not reimburse for this expense.

Hotel Check-In Date: ____________  Hotel Check-Out Date: ____________

Room Type:  □ Non-Smoking  □ Smoking  Bed Type:  □ King  □ Double/Double

GROUND TRANSPORTATION:

Ground transportation will be your own responsibility.

AIRLINE TRAVEL:

Please read carefully below and select the option that is appropriate per your organization’s guidelines.

- (1) I request USLAW purchase airline ticket(s) on my behalf.
- (2) I will purchase my own ticket(s) and understand that USLAW will not reimburse for this expense.

– COMPLETE THE FOLLOWING SECTION ONLY IF YOU SELECTED #1 ABOVE –

Passenger Name (as it appears on ID including First, Middle and Last name) __________________________

/            / □ MALE  □ FEMALE
Date of Birth (Required – MM/DD/YYYY) __________________________ Gender (Required) __________________________

TSA Pre# (if applicable) __________________________

Home Address

City, State, Zip __________________________  Cell Phone (Day of Travel) __________________________

TRAVEL PREFERENCES (Complete Only If USLAW Purchasing Airfare)

Departure Date __________________________  Preferred Departure Time __________________________

Return Date __________________________  Preferred Return Time __________________________

Airport for Departure __________________________  Airport to Return __________________________

Seat Preference  □ Aisle  □ Middle  □ Window  Guest Seat Preference  □ Aisle  □ Middle  □ Window

AIRLINE (Complete Only If USLAW Purchasing Airfare)

Preferred Airline __________________________  Frequent Flyer # __________________________

EMERGENCY CONTACT INFORMATION (REQUIRED):

Emergency Contact Name #1 __________________________  Cell Number __________________________  Relationship __________________________

Emergency Contact Name #2 __________________________  Cell Number __________________________  Relationship __________________________