



PROGRAM ANNOUNCEMENT

The Advocacy Institute Is Pleased to Present

SECURITIES LAW: THE PRIMER

January 15, 2020
1:00 p.m. – 2:15 p.m.
124 Halsey Street
5th Floor, Room 10-C
Newark, New Jersey

NOTICE REGARDING COURSE MATERIALS

You will receive the course materials approximately forty-eight (48) hours prior to the date of the course. The materials will be contained in an email attachment.

Program Summary

Our lives are impacted in one form or another by financial decisions and investments on Wall Street and Main Street. This presentation will discuss the history and framework of securities regulation in the United States and the relationships among the United States Securities and Exchange Commission, state regulators and self-regulatory organizations. This program will also cover fraud schemes, the jurisdiction of the New Jersey Bureau of Securities and how the bureau protects the investing public.

Who Should Attend?

This presentation is open to all government attorneys, space allowing.

Who Is the Faculty?

DAG Victoria A. Manning is the Chief of the Securities Fraud Prosecution Section in the Division of Law, which represents the New Jersey Bureau of Securities and other State agencies, including the Division of Investment in its securities fraud litigation. She has also served in the Professional Board Counseling Section. Prior to joining the Division of Law, DAG Manning was in private practice at Epstein Brown Markowitz & Gioia where she enjoyed a diverse practice in general civil litigation matters, including commercial law, environmental law, real estate law, tax appeals, and bankruptcy cases. She represented lenders in commercial real estate loan transactions, handled real estate purchases and sales, and counseled women-owned small businesses. She was also a defense litigator at Morgan Melhuish Monaghan Arvidson Abrutyn & Lisowski where she handled environmental, professional liability and insurance coverage matters, and wrote insurance

coverage opinions. DAG Manning was an Adjunct Professor at Seton Hall School of Law where she taught legal research and writing. She is currently a faculty member for the New Jersey Attorney General's Advocacy Institute and has served as guest faculty at Rutgers School of Law in its deposition skills course. After graduating from law school, DAG Manning clerked for the New Hampshire Superior Court. She earned a B.A. in Political Science from Montclair State College and a J.D. from Seton Hall School of Law.

Christopher W. Gerold is the Chief and Principal Executive Officer of the New Jersey Bureau of Securities. The Bureau protects investors by regulating the offer and sale of securities in New Jersey. Mr. Gerold is responsible for the administration and enforcement of the New Jersey Uniform Securities Law and regulations, as well as the management and oversight of the Bureau staff. Mr. Gerold started his legal career as a Deputy Attorney General in the Securities Fraud Prosecution Section of the New Jersey Division of Law, where he represented the Bureau during investigations and as a lead trial attorney in some of its most complex and contentiously litigated matters, including cases involving suitability, Ponzi schemes, penny stock fraud, failures to supervise, and registration.

Before returning to public service, Mr. Gerold was an attorney with the law firm of Chiesa, Shahinian & Giantomasi PC, where he was a member of the firm's Securities Litigation and Enforcement Group. He conducted internal investigations for broker-dealers and represented financial professionals and companies during regulatory investigations and enforcement actions by the U.S. Securities and Exchange Commission, the Financial Industry Regulatory Authority, and various state securities regulators. Mr. Gerold was also a member of CSG's Disaster Recovery Group, where he represented businesses and homeowners in over 200 Superstorm Sandy-related lawsuits for the underpayment and/or wrongful denial of claims against insurance companies. As a result of these efforts, Mr. Gerold was personally responsible for the recovery of over \$23 million dollars for policyholders. Mr. Gerold received his J.D. degree from Seton Hall Law School and his B.S. degree in finance from Villanova University. Prior to attending law school, Mr. Gerold was a registered representative, having passed the Series 7 and 63 securities exams.

CLE Credit

NJ CLE Credit: This program had been approved by the Board on Continuing Legal Education of the Supreme Court of New Jersey for 1.5 hours of total CLE credit. Of these, 0.0 qualify as hours of credit for ethics/professionalism.

NY CLE Credit: 1.5 Substantive Credits (pursuant to the approved jurisdiction policy).

PA CLE Credit: 1.0 Substantive Credits (\$1.50 mandatory registration fee required).

How Do I Register?

State Employees

Most State employees are able to register for this course by going to <http://reg2.dcj.lps.state.nj.us/lpcreg/login.aspx?portalid=2> and creating an AGAI Course Registration account. To do so, your computer **must** be attached to the government's Garden State Network. Upon opening the AGAI Course Registration System home page, you will see the Create Account link in the Login Box. Click on it and create your account, which will include you selecting a user name and password. Once you create your account, you can access the AGAI Course Registration System at <http://reg2.dcj.lps.state.nj.us/lpcreg/login.aspx?portalid=2> to register for future courses or to manage your account. Please retain your user name and password for your records.

Non-State Employees or State Employees not Connected to the Garden State Network

If you are not a State employee, or are otherwise unable to access the AGAI Course Registration System through the Garden State Network, kindly email the Advocacy Institute at: njagai@njoag.gov for an authorization code to allow you access to the AGAI Course Registration System through the My New Jersey portal. **Setting up your account through the portal is a two-step process, the details of which are set forth in the next two paragraphs.**

Once you receive the portal authorization code you will be prompted to go to the My New Jersey portal at <http://www.state.nj.us/> and create a portal account. Once your portal account is created you are prompted to enter your authorization code. This is Step 1 of the process, which you need only do once.

If you have already been issued an authorization code in the past you do not need to request another one. You can log into your account on the Garden State Network at <http://www.state.nj.us/> and under the heading NJ L&PS Applications you will see the Attorney General's Advocacy Institute's Registration System. Click on that and log into your account on our system.

Upon setting up your portal account, you need to set up your AGAI Course Registration System account. This is Step 2. To do so, log on to the My New Jersey Portal <http://www.state.nj.us/>. Upon opening the AGAI Course Registration System home page, you will see the Create Account link in the Login Box. Click on it and create your account, which will include you selecting a new user name and password. Once you create your account, you can access the AGAI Course Registration System at <http://reg2.dcj.lps.state.nj.us/lpcreg/login.aspx?portalid=2> to register for future courses or to manage your account. Please retain your user name and password for your records.