



PROGRAM ANNOUNCEMENT

The Advocacy Institute Is Pleased to Present

Securities Law – The Primer

June 7, 2023
1:00 p.m. – 2:30 p.m.

WEBINAR

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.

Eligibility

This program is open to attorneys in the Department of Law and Public Safety and county prosecutors' offices. Registrants will receive the course materials prior to the program date.

Faculty

Amy G. Kopleton is the Acting Chief of the New Jersey Bureau of Securities ("Bureau") and, pursuant to N.J.S.A. 49:3-66(a), acts as its principal executive officer. She is responsible for the administration and enforcement of the New Jersey Uniform Securities Law and regulations. The primary mission of the Bureau is the protection of New Jersey investors. The Bureau regulates the offer and sale of securities in New Jersey through its registration of securities offerings, financial professionals and companies, and enforcement of the New Jersey Uniform Securities Law. Ms. Kopleton is an active participant on industry panels including the Practising Law Institute and has appeared on the TV series *American Greed*. Prior to joining the Bureau, she was an associate at Eichenbaum, Kantrowitz, Leff and Gulko, L.L.C. Ms. Kopleton clerked in Passaic County for the Honorable Arthur Dwyer and the Honorable W. Hunt Dumont. She received a B.S. degree in Management from Tulane University and a J.D. from Brooklyn Law School.

DAG Victoria A. Manning is the Chief of the Securities Fraud Prosecution Section in the Division of Law's Affirmative Civil Enforcement Practice Group. The Securities Fraud Prosecution Section primarily represents the New Jersey Bureau of Securities in enforcement of the New Jersey Uniform Securities Law. She has also served in the Professional Board Counseling Section. Prior to joining the Division of Law in 2000, 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 was also a defense litigator at Morgan Melhuish Monaghan Arvidson Abrutyn & Lisowski where she handled environmental, professional liability and insurance coverage matters. DAG Manning was an Adjunct Professor at Seton Hall School of Law and has served as guest faculty at Rutgers School of Law. 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.

CLE Credit

NJ CLE Credit: This program has been approved by the Board on Continuing Legal Education of the Supreme Court of New Jersey for 1.8 hours of Alternative Verifiable Learning Format (AVF) total CLE credit. Of these, 0.0 qualify as hours of credit for ethics/professionalism.

Registration

Those who are eligible to apply should use the Zoom Webinar registration link in the Program Announcement email. Students who are registered will receive a confirmation email with a link to access the program.

Students must download Zoom before the webinar in order for the AGAI to record polling responses that are required for attendance verification and CLE credit.

The AGAI will be unable to verify attendance or grant CLE credit to students who have not downloaded Zoom before the webinar.