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## **PROGRAM ANNOUNCEMENT**

*The Advocacy Institute Is Pleased to Present*

### **SECURITIES LAW: THE PRIMER**

**May 2, 2018**

**10:30 a.m. to 11:30 a.m.**

**Richard J. Hughes Justice Complex**

**6th Floor Point Meeting Area – Attorney General's Library**

**25 Market Street**

**Trenton, New Jersey**

### **PLEASE READ: 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?***

**Victoria A. Manning** is the Chief of the Securities Fraud Prosecution Section, which represents the New Jersey Bureau of Securities and other State agencies, including the Division of Investment in its securities fraud litigation. Vicky has been in her section since joining the Division of Law in 2000, except for an 18 month assignment in the Professional Board Counseling Section. Prior to joining the Division of Law, Vicky was in private practice at

Epstein Brown Markowitz & Gioia where she worked on general commercial litigation, and transactional loan and real estate matters. She was also a litigator at Morgan Melhuish Monaghan Arvidson Abrutyn & Lisowski where she handled on environmental and professional liability defense matters, and wrote insurance coverage opinions. From 1999-2000, Vicky was an Adjunct Professor at Seton Hall School of Law where she taught legal research and writing. She is currently a faculty member with the New Jersey Attorney General's Advocacy Institute and has appeared as guest faculty at Rutgers School of Law in its deposition skills course. Born and raised in New Jersey, Vicky earned a B.A. in Political Science from Montclair State College in 1987 and graduated from Seton Hall School of Law with a J.D. in 1990. After law school, Vicky clerked for the New Hampshire Superior Court. She is a member of the New Jersey State Bar Association.

**Christopher W. Gerold** is the Chief of the New Jersey Bureau of Securities ("Bureau") and, pursuant N.J.S.A. 49:3-66(a), its principal executive officer. As the Bureau Chief, Mr. Gerold is responsible for the administration and enforcement of the New Jersey Uniform Securities Law and regulations, as well as management and oversight of the Bureau staff. 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 enforcement of the New Jersey Uniform Securities Law.

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 from 2005 to 2010 he represented the Bureau during investigations and as a lead trial attorney in litigated matters. Mr. Gerold represented the Bureau in some of the Bureau's 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 ("CSG"). While at CSG, Mr. Gerold was a member of the firm's Securities Litigation and Enforcement Group where he conducted internal investigations for broker-dealers. Mr. Gerold also represented financial professionals and companies during regulatory investigations and enforcement actions by the U.S. Securities and Exchange Commission (SEC), the Financial Industry Regulatory Authority (FINRA), and various state securities regulators. Mr. Gerold was also a member of CSG's Disaster Recovery Group, where as the result of Superstorm Sandy, he represented businesses and homeowners in over 200 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 for policyholders.

Mr. Gerold received his J.D. degree from Seton Hall Law 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. Mr. Gerold is admitted to the bar in New Jersey and New York.

#### *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 1.2 hours of total CLE credit. Of these, 0.0 qualify as

hours of credit for ethics/professionalism.

**NY CLE Credit:** 1.0 Substantive Credit (pursuant to the approved jurisdiction policy).

**PA CLE Credit:** 1.0 Substantive Credit (\$1.50 per credit 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](mailto: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.