

# **Securities Forum 2006**

## **Registration Information**

**Registration Fee:** \$65 per person (includes course materials and luncheon)  
\$60 per person for multiple attendees from the same organization

**Payment:** Make checks payable to "Murtha Cullina LLP"  
Credit cards not accepted.

**Deadline:** Thursday, October 19, 2006  
Late registration, and payment by check at the door, permitted only in extenuating circumstances.

**Registration Form:** Mail the completed registration form with your payment to:  
Murtha Cullina LLP, Attn: Debra A. Sciarra, CityPlace I, 185 Asylum St.,  
Hartford, CT 06103-3469.

**Questions?** Contact Debra A. Sciarra at 860-240-6084  
(fax: 860-240-6150; e-mail: [dsciarra@murthalaw.com](mailto:dsciarra@murthalaw.com)).

**Special Needs:** For registration information, disability accommodations or special luncheon dietary needs, please telephone or e-mail Debra Sciarra, Murtha Cullina LLP, (860) 240-6084, [dsciarra@murthalaw.com](mailto:dsciarra@murthalaw.com) or Kathleen Doolan, (860) 240-8176, [kathleen.doolan@ct.gov](mailto:kathleen.doolan@ct.gov).

### **Crowne Plaza Hotel and Conference Center**

100 Berlin Road (Route 372), Cromwell, CT

Telephone: (860) 635-2000 or 877-227-6963.

Fax: (860) 635-6970

E-mail: [cwcpgm@shanercorp.com](mailto:cwcpgm@shanercorp.com). Ample free parking is available.

Check in time: 3:00 p.m. Check out: 12 noon.



*A limited number of hotel rooms have been secured for attendees at the rate of \$109 single/double plus tax (12%). When making your reservation, ask for the Department of Banking Securities Forum rate. Rate or room availability cannot be guaranteed after September 29, 2006, so book early to avoid disappointment or inconvenience.*

### **Hotel Directions**

**From Hartford:** Take I-91 south to exit 21, Cromwell. Turn left from exit, hotel is on left.

**From Waterbury (and New York):** Take I-84 east to exit 27, Route 691 east. Continue on Route 691 to I-91 north. Take exit 21. Turn left, hotel is on left.

**From New Haven (and New York):** Take I-91 north to exit 21, Cromwell. Turn left from exit, hotel is on left.

**From Northeastern Connecticut (and Boston):** Take I-84 to Hartford interchange. Take I-91 south to exit 21, Cromwell. Turn left from exit, hotel is on left.



# **Securities Forum 2006 Registration Form**

Crowne Plaza Hotel, Cromwell, CT

Registration deadline is October 19, 2006.

*(see Registration Instructions for Mailing Information)*

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Make checks payable to **Murtha Cullina LLP.**

NAME(s): \_\_\_\_\_

FIRM: \_\_\_\_\_

STREET ADDRESS: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP CODE: \_\_\_\_\_

TELEPHONE: \_\_\_\_\_ # ATTENDING \_\_\_\_\_ FEE ENCLOSED: \$ \_\_\_\_\_

Please check off the panel(s) you (and others from your firm) will be attending:

**General Session** (9:00 to 10:30 a.m.)

Hedge Fund Symposium *Number Attending:* \_\_\_\_\_

**Morning Panels** (10:45 a.m. to 12:00 p.m.)

Developments in Branch Office Regulation *Number Attending:* \_\_\_\_\_

Dialogue With the State Securities Division *Number Attending:* \_\_\_\_\_

Profit or Principle: Ethical Considerations in Developing  
Sound Compliance Systems *Number Attending:* \_\_\_\_\_

**Luncheon** (12:15 p.m.) *Number Attending:* \_\_\_\_\_

Keynote Address – Zachary J. Bagdon

**Afternoon Panels** (1:45 to 3:00 p.m.)

Defensive Strategies in Arbitrating Industry  
Employment Disputes *Number Attending:* \_\_\_\_\_

Trends in Broker-dealer Regulation *Number Attending:* \_\_\_\_\_

Investment Advisory Update *Number Attending:* \_\_\_\_\_