



FINANCIAL FRAUD I N S T I T U T E

Learn How to Avoid Financial and Consumer Fraud

**Open to the public and
no cost to attend with
FREE light dinner**

**Space is limited — Register
at www.utfraud.com
or (801) 579-6191**



#StopFraudUtah

Join local and national experts from federal and state law enforcement and financial regulatory agencies for a free consumer education seminar. Learn how to recognize and avoid financial fraud.

When: Thursday, November 15, 2018

5:00 p.m. to 5:30 p.m. — Registration and Informational Booths

5:30 p.m. to 8:00 p.m. — Program

Where: Weber Center

2380 Washington Blvd., Commission Chambers

Ogden, UT 84401

Parking to the East of the Weber Center

Keynote Speaker: Chief Magistrate Judge Paul M. Warner

Investor Fraud Panel: • Utah Division of Securities • Financial Industry Regulatory Authority (FINRA) • U.S. Attorney's Office • U.S. Securities and Exchange Commission (SEC)

Consumer Fraud Panel: • Utah Division of Consumer Protection • Utah Office of the Attorney General • Internal Revenue Service (IRS) • Federal Bureau of Investigation (FBI)

Additional Sponsors: Weber County Attorney's Office, U.S. Commodity Futures Trading Commission (CFTC), American Association of Retired Persons (AARP), Utah Retirement Systems, Better Business Bureau, and Department of Veterans and Military Affairs

FINANCIAL FRAUD INSTITUTE AGENDA

Weber County Event November 15, 2018

- **5:00 – 5:30** | Registration/Check-in, Pick Up Box Dinners, Browse Informational Booths
- **5:30 – 5:40** | Welcome and Video
- **5:40 – 6:00** | Keynote Speaker: Chief Magistrate Judge Paul M. Warner
- **6:00 – 6:50** | Investor Fraud Panel | Topic: Recognizing and Avoiding Investment Fraud
 - Panelists:
 - Utah Division of Securities – Thomas Brady, Division Director
 - Financial Industry Regulatory Authority (FINRA) – Gerald Dougherty, Associate District Director
 - U.S. Attorney’s Office, District of Utah – Ruth Hackford-Peer, Assistant U.S. Attorney
 - U.S. Securities and Exchange Commission – Daniel Wadley, Regional Director
- **6:50 – 7:00** | Break
- **7:00 – 7:50** | Consumer Fraud Panel | Topic: Avoiding Other Types of Fraud
 - Panelists:
 - Utah Department of Consumer Protection - Daniel O’Bannon, Director
 - Utah Attorney General’s Office - David Sonnenreich, Deputy Attorney General
 - Internal Revenue Service – Casey Hill, Special Agent
 - Federal Bureau of Investigation – Michael Pickett, Supervisory Special Agent
- **7:50 – 8:00** | Closing Remarks

FINANCIAL FRAUD INSTITUTE

Speaker Biographies

Keynote Speaker:

Chief Magistrate Judge Paul M. Warner

U.S District Court, District of Utah

After serving as a trial lawyer in the Judge Advocate General Corps of the United States Navy, Paul Warner worked in the Utah Attorney General's office where he served later as Associate Chief Deputy to the Attorney General. Judge Warner was appointed United States Attorney for the District of Utah in July 1998. He was appointed Chief United States Magistrate Judge for the District of Utah in February 2006. He retired in September 2006 as the State Staff Judge Advocate, after 31 years of commissioned service.

Investor Fraud Panel

Thomas Brady

Utah Division of Securities — Division Director

Thomas Brady served as Commerce Deputy Director before returning to the Utah Division of Securities as the Director of Enforcement. He has been an expert witness in multiple securities cases, been designated as a special prosecutor and has served as an Administrative Law Judge for various Boards within the Department of Commerce.

Gerald Dougherty

FINRA – Associate Director, Denver District Office

Gerald Dougherty is the Associate District Director of FINRA's offices based in Denver, Colorado. He is responsible for overseeing the day-to-day execution of the district's regulatory programs.

Ruth Hackford-Peer

U.S. Attorney's Office – Assistant U.S. Attorney

Ruth Hackford-Peer graduated from SJ Quinney College of Law at the University of Utah in 2013. She clerked with Judge Steward and later with Magistrate Judge Wells at the federal district court in Utah. She spent about 18 months in private practice at Parsons Behle and Latimer and then has been practicing in the financial crimes section of the United States Attorney's Office since December 2016.

Daniel Wadley

SEC – Regional Director

Daniel Wadley served as a Trial Counsel for the U.S. Securities and Exchange Commission beginning in 2010, and is now the Regional Director of the Salt Lake Regional Office, overseeing investigations and litigation involving alleged violations of federal security laws. His cases have returned hundreds of millions of dollars to defrauded investors.

Consumer Fraud Panel

Daniel O'Bannon

Utah Division of Consumer Protection — Director

Daniel O'Bannon has been the Director of the Division of Consumer Protection since June 2013. He worked previously as a staff attorney in Governor Gary R. Herbert's office and as a research attorney in the University of Utah Office Of General Counsel.

David N. Sonnenreich

Utah Attorney General's Office — Deputy Attorney General

David Sonnenreich is the Deputy Attorney General who developed the interagency "Stop Fraud Utah" and the Utah White Collar Crime Offenders Registry. He currently pursues antitrust and corporate data breach cases for the Utah Attorney General's Office.

Casey Hill

IRS – Special Agent

Casey has a bachelor's degree in Accounting from Weber State University. He is the Public Information Officer for IRS-CI in Utah, and he has been a Special Agent with IRS for over thirteen years.

Michael J. Pickett

FBI - Supervisory Special Agent

Michael Pickett became a Special Agent for the FBI in 2003. As an FBI Agent, he has established a broad range of work experience to include organized crime, white collar crime, health care fraud, terrorism, and National Security Matters. SSA Pickett is currently the White Collar Crime Program Manager for all of Utah, Idaho, and Montana.