



## **SENIOR INVESTOR PROTECTION SYMPOSIUM**

**October 29, 2020 – VIRTUAL**

- All times are listed in Central Standard Time

**Welcome - 8:30 – 8:40 am**

**J. Samuel Tenenbaum**, Clinical Professor of Law and Complex Civil Litigation and Investor Protection Center  
Director, Bluhm Legal Clinic, Northwestern Pritzker School of Law

**Introduction of Keynote Speaker – 8:40 to 8:45 am**

**Joel R. Levin**, Director, Chicago Regional Office, U.S. Securities and Exchange Commission (SEC)

**Keynote Remarks and Discussion with Commissioner Allison Herren Lee – 8:45 - 9:15 am**

**Moderated by Joel R. Levin**, Director, Chicago Regional Office, SEC

**Discussion Topic 1: 9:15 – 10:00 am**

**What are the Risks and Red Flags of Financial Fraud?**

**Moderator:**

**Tina Diamantopoulos**, Counsel to the Director, Chicago Regional Office, SEC

**Speakers:**

**Todd M. Kossow**, Director, Midwest Region, Federal Trade Commission

**Deborah M. Royster**, Assistant Director, Office for Older Americans, Consumer Financial Protection Bureau

**Lori J. Schock**, Director, Office of Investor Education and Advocacy, SEC

**Discussion Topic 2: 10:00 – 10:45 am**

**The Impact of Financial Fraud on Senior Investors and Where to Find Help / Resources When You or Someone You Know Is a Victim of Financial Fraud**

**Moderator:**

**J. Samuel Tenenbaum**, Clinical Professor of Law and Director Investor Protection Center, Bluhm Legal  
Clinic, Northwestern Pritzker School of Law

**Northwestern**  
PRITZKER SCHOOL OF LAW  
Bluhm Legal Clinic



**Speakers:**

**Robert Gallo**, Senior State Director, Illinois, AARP

**Representative**, Office for Victims of Crime, U. S. Department of Justice

**Brooke Hickman-Elgrim**, Director of Vulnerable Adults and Seniors Team, FINRA

**Dr. Lori Ann Post, Ph.D.**, Buehler Professor for Emergency Medicine and Medical Social Sciences  
Director of the Buehler Center for Health Policy & Economics  
Northwestern University Feinberg School of Medicine

**Felice Weiler**, Victim-Witness Coordinator, U.S. Attorney's Office for the Northern District of Illinois

**BREAK:** 10:45 – 11:00 am

**Discussion Topic 3:** 11:00 – 11:45 am

**The Investigation and Prosecution of Financial Fraud Targeting the Elderly**

**Moderator:**

**John R. Lausch, Jr.**, U. S. Attorney, U.S. Attorney's Office for the Northern District of Illinois

**Speakers:**

**Silvia Carrier**, Postal Inspector/Team Leader, Mail Fraud Team, U. S. Postal Inspection Service, Chicago Division

**Gregory LaBerta**, Supervisory Special Agent, Corporate & Securities/Commodities Fraud, Federal Bureau of Investigation

**Anne McKinley**, Assistant Director, Enforcement, Chicago Regional Office, SEC

**Tanya Solov**, Director, Illinois State Securities Department, Chicago

**Jason Yonan**, Chief, Securities and Commodities Fraud Section, U.S. Attorney's Office for the Northern District of Illinois

**A Conversation with SEC Commissioner Elad L. Roisman - 11:45 – 12:15 pm**

**Moderated by Joel R. Levin**, Director, Chicago Regional Office, SEC

**Closing Remarks** – 12:15 – 12:20 pm

**Joel R. Levin**, Director, Chicago Regional Office, SEC