



## THE CONFERENCE ON WISE AND SAFE INVESTING

Where: Spectacular Events Conference Center  
395 Griffin Road, Bangor

When: Saturday, September 27, 2008  
8:30 a.m.-12:30 p.m.

Welcoming remarks by Gov. John Baldacci

*Hear the latest from national and state securities regulators on how you can protect yourself from investment fraud and unethical practices.*

**Call AARP/ME after Sept. 8th to register free!  
1-877-926-8300**



*Get the facts you need to  
be a wise and safe  
investor!*

*Sponsored by the Maine Office of Securities and  
the Campaign for Wise and Safe Investing  
With participation from the U.S. Securities and Exchange Commis-  
sion and the FINRA Investor Education Foundation  
Funded by a grant from the Investors Protection Trust*

**The Campaign for Wise and Safe Investing™**



# **The Conference on Wise and Safe Investing**

*Presented By*

*The Campaign for Wise and Safe Investing™*

The Maine Office of Securities, AARP/Maine, the  
U.S. Securities and Exchange Commission and FINRA Investor Education Foundation  
*With funding from the Investor Protection Trust*

## **Tentative AGENDA**

**Date: Saturday, September 27, 2008**

**Registration begins at 8:30 a.m.**

**Conference 9:30 a.m.-12:30 p.m.**

**Spectacular Events Conference Center, 395 Griffin Road, Bangor**

- 8:30 a.m.**                    **Registration (Coffee and Muffins provided)**  
                                  **FINRA Investor Risk Quiz will be distributed to attendees**
- 9:30**                         **Welcome and Opening Remarks**  
                                  *Bonnie E. Russell, Acting Administrator, Maine Office of Securities*  
                                  *Anne L. Head, Esq., Commissioner, Department of Professional and Financial Regulation*  
                                  *Hon. John E. Baldacci, Governor, State of Maine*  
                                  *David Bergers (Moderator), Regional Director, U.S. Securities and Exchange Commission, Boston Office*
- 9:50**                         **Keynote Address**  
                                  *Linda Chatman Thomsen, Esq., Director, Office of Enforcement, U.S. Securities and Exchange Commission, Washington, D.C.*
- 10:15**                       **Panel: The Face of Investment Fraud: Maine and National Securities Enforcement Cases**  
                                  *Moderator/Panelist: Andres Castillo, AARP Financial Security*  
                                  *Jacqueline Drouin, Investigator/Examiner, Maine Office of Securities*  
                                  *John T. Dugan, Associate District Administrator, SEC/Boston*
- 10:55**                       **BREAK**
- 11:00**                       **Panel: Outsmarting Investment Fraud**  
                                  *Moderator/Panelist: John Gannon, Senior Vice President, Office of Investor Education, FINRA*  
                                  *Bonnie E. Russell, Acting Administrator, Maine Office of Securities*  
                                  *Bonnie C. Dailey, Esq., Senior Counsel, Office of Investor Education, U.S. Securities and Exchange Commission*
- 11:45**                       **Closing Remarks by Bonnie E. Russell, Maine Office of Securities**
- 12:00-12:30**              **LUNCHEON BUFFET and Question and Answer session**