



**WASHBURN UNIVERSITY**  
**SCHOOL OF LAW**

BUSINESS & TRANSACTIONAL LAW CENTER presents  
Third Annual Corporate Counsel Institute:

**RECENT DEVELOPMENTS IN KANSAS FINANCIAL REGULATIONS**

*Washburn University • Bradbury Thompson Center • Monday, April 18, 2005 • 3.0 CLE Credit Hours*

## *About the Seminar*

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Over the past few years the Kansas Legislature has enacted a series of important acts bearing on financial regulation, including a new Blue Sky Act that is scheduled to go into effect on July 1, 2005. All corporate counsel should be aware of the major provisions of these new acts. This program is specifically designed to address the major changes in financial regulation in Kansas in the areas of trusts and securities. The specific Acts covered will be: the Uniform Principle and Income Act; the Uniform Prudent Investor Act; the Uniform Trust Code; and the Kansas Uniform Securities Act.

## *About the Center*

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To succeed in transactional practice, lawyers must have a thorough understanding of the intersection of law and business. They also must possess the transactional skills necessary to assist their clients to achieve their goals. In the Washburn University School of Law Business and Transactional Law Center, students with interests in corporate and securities law, agribusiness law, banking and financial institution law, entrepreneurial law, oil and gas law, and general business practice, partner with faculty members and practicing lawyers to obtain a sophisticated and innovative education designed to make them tomorrow's deal makers. In addition to traditional law school coursework in business and related subjects, the Center offers students training in crucial transactional skills such as drafting, client counseling, and negotiation. The Center also offers specialized courses and workshops in important allied disciplines including accounting, finance and economics.

*Monday, April 18, 2005*

*Presenters*

*1:00 p.m.*      Registration

*1:30 p.m.*      **The New Kansas Blue Sky Act**  
*Chris Biggs and Rick Fleming*

*2:45 p.m.*      Break

*3:00 p.m.*      **The New Kansas Trust Statutes**  
*Steven A. Ramirez and B. J. Hickert*

*4:45 p.m.*      Adjourn – Reception following  
program



**Chris Biggs** is the Kansas Securities Commissioner. Mr. Biggs served as the lead prosecutor for Geary County, Kansas, for fourteen years and has a total of 20 years experience trying and litigating criminal cases. Mr. Biggs was the Kansas Outstanding Prosecutor for 1988. He graduated from the University of Kansas School of Law in 1983.



**Rick Fleming** is General Counsel for the Office of the Kansas Securities Commissioner. In this position he leads a team of four lawyers who represent the state in securities enforcement actions ranging from administrative proceedings to criminal prosecution. He was the principal drafter of 2004 House Bill 2347, the Kansas version of the Uniform Securities Act, and he is currently undertaking a substantial revision of the regulations that

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implement the securities statutes. Mr. Fleming is an active participant in nationwide projects through the North American Securities Administrators Association (NASAA). He is a past member of the NASAA Privacy Project Group and a current member of the Federal Legislation Project Group. In addition, he helps draft the questions for the Series 63, 65 and 66 qualifying examinations for agents and investment advisers. Mr. Fleming graduated *summa cum laude* from Washburn University with dual degrees in finance and economics. He is a 1994 graduate of Wake Forest School of Law.



**B. J. Hickert** is a partner with the Topeka law firm of Newbery, Ungerer & Hickert LLP where his main areas of practice are business and estate planning, probate and trust administration, tax and tax litigation. He graduated *cum laude* from Benedictine

College in Atchison, Kansas, and received his J.D. from the University of Kansas School of Law. After ten years of private practice, B. J. served as a Senior Attorney for the Federal Deposit Insurance Corporation, where he directed professional liability litigation for an 11-state region. In 1995, B. J. obtained an LL.M. in Taxation from the University of Missouri at Kansas City School of Law.



**Steven Ramirez** is a Professor of Law at Washburn University School of Law where he is also the Director of Washburn Law's Business and Transaction Law Center. Prior to joining the Washburn Law faculty, Professor Ramirez practiced corporate, securities and banking litigation, and served as a Senior Attorney for the Resolution Trust Corporation and as an Enforcement Attorney with the Securities and Exchange Commission.

## General Information & Registration

# Third Annual Corporate Counsel Institute: Recent Developments in Kansas Financial Regulations

Monday • April 18, 2005

### Program Fee:

The \$75 fee includes reporting of your hours of attendance to the Kansas CLE Commission, written materials and refreshments.

**Cancellations:** If you cannot attend the seminar, you may send a substitute. If you cancel your registration at least two (2) business days prior to the seminar, your registration fee will be refunded. After that date, non-attending registrants will receive the course materials. Please allow two weeks for delivery. Washburn reserves the right to cancel this seminar and return all fees.

**CLE Credit:** Accredited by the Kansas and Missouri Continuing Legal Education Commissions for 3.0 CLE hours.

### Assistance for Special Needs:

If you require any special services or auxiliary aids to assist you while attending the symposium, please contact Margann Bennett or Donna Vilander at (785) 231-1105.

### Location

Washburn University, Bradbury Thompson Center

Located at 17th and Jewell streets.

Parking available on campus.

Name: \_\_\_\_\_

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Monday, April 18, 2005 ..... 3.0 CLE hours \$75

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1700 SW College Avenue  
Topeka, KS 66621-1140

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## BUSINESS & TRANSACTIONAL LAW CENTER

*The Center partners  
students with faculty  
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to provide fundamental  
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