

# NEW YORK STATE BAR ASSOCIATION



**Section Chair**  
**DAVID W. OPPENHEIM, ESQ.**  
Greenberg Traurig LLP  
New York City

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**KATHLEEN A. SCOTT, ESQ.**  
Norton Rose Fulbright US LLP  
New York City

# NYSBA

## Business Law Section

### Fall Meeting

**October 1-3, 2015**

DoubleTree by Hilton  
Tarrytown, New York

Under New York's MCLE rule, this program will provide you with up to **9.0 MCLE credits**; **1.5 in Ethics, 1.5 in Law Practice Management and 6.0 in Professional Practice** for experienced attorneys only. This is not a basic skills program; and therefore, will not qualify for credit for newly admitted attorneys.



# CLE AND IMPORTANT INFORMATION

The New York State Bar Association's Meetings Department has been certified by the NYS Continuing Legal Education Board as an accredited provider of continuing legal education in the State of New York. Under New York's MCLE rule, this two-day program will provide you with a total of **9.0 CREDIT HOURS; 1.5 IN LAW PRACTICE MANAGEMENT, 6.0 IN PROFESSIONAL PRACTICE AND 1.5 IN ETHICS FOR EXPERIENCED ATTORNEYS ONLY. THE PROGRAM IS NOT TRANSITIONAL; AND THEREFORE, NOT SUITABLE FOR NEWLY-ADMITTED ATTORNEYS.**

**DISCOUNTS AND SCHOLARSHIPS:** New York State Bar Association members and non-members may receive financial aid to attend this program. Under this policy, anyone who requires financial aid may apply in writing, not later than ten working days prior to the program, explaining the basis of his/her hardship, and if approved, can receive a discount or scholarship, depending on the circumstances. For more details, please contact: Catheryn Teeter, New York State Bar Association, One Elk Street, Albany, New York 12207; cteeter@nysba.org

**RECENTLY ADMITTED ATTORNEY DISCOUNT:** Members of the NYSBA Business Law Section admitted 7 years or less are entitled to receive a reduced registration fee of \$200.00. ***Please be aware attorneys admitted 2 years or less will not qualify to receive MCLE Credit for attending this meeting.***

**ACCOMMODATIONS FOR PERSONS WITH DISABILITIES:** NYSBA welcomes participation by individuals with disabilities. NYSBA is committed to complying with all applicable laws that prohibit discrimination against individuals on the basis of disability in the full and equal enjoyment of its goods, services, programs, activities, facilities, privileges, advantages, or accommodations. To request auxiliary aids or services or if you have any questions regarding accessibility, please contact Catheryn Teeter at 518.487.5573 or cteeter@nysba.org.

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## HOTEL INFORMATION

### **DIRECTIONS**

**From Westchester:** Take 287 West to the New York State Thruway, I-87 North bound; take exit 9 to Tarrytown (last exit before the Tappan Zee Bridge). At the end of the exit ramp turn left onto Route 119 West. Continue to the end of the road and turn left at the traffic light onto Route 9 South. At the 1st traffic light, turn right into hotel parking lot.

**From New Jersey:** North on Palisades Parkway or Garden State Parkway to New York Thruway I-87 South. Take exit 9 (first exit after Tappan Zee toll). At end of ramp, go straight through the traffic light into the hotel parking lot.

**From NYC (East Side):** North on FDR to Willis Avenue Bridge into Major Deegan Expressway. From Major Deegan Expressway to New York Thruway I-87 North. Take exit 9 Tarrytown (last exit before the Tappan Zee Bridge). At the end of the exit ramp, turn left onto Route 119 West. Continue to the end of the road and turn left at the traffic light onto Route 9 South. At the 1st traffic light, turn right into hotel parking lot.

**From NYC (West Side):** North on West Side Highway to Saw Mill River Parkway to Exit 20 (I-287 West-Tappan Zee Bridge) to New York State Thruway I-87 North. Take exit 9 Tarrytown (Last exit before the Tappan Zee Bridge). At the end of the exit ramp turn left onto Route 119 West. Continue to the end of the road and turn left at the traffic light onto Route 9 South. At the 1st traffic light, turn right into hotel parking lot.

**From Long Island:** Throgs Neck or Whitestone Bridge to New York extension of New England Thruway to I-287 to New York State Thruway I-87 North. Take exit 9 Tarrytown (last exit before the Tappan Zee Bridge). At the end of the exit ramp, turn left onto Route 119 West. Continue to the end of the road and turn left at the traffic light onto Route 9 South. At the 1st traffic light turn right into hotel parking lot.

### **DINING**

**Bistro Z:** Modern American bistro serving fresh and creative seasonal specialties. Open for breakfast, lunch & dinner daily; 6 am to 10 pm.

**Bistro Z Lounge:** Upscale lounge featuring plenty of seating and 42' flat screen televisions. Offering a variety of pub style menu options. Open 2 to 11 pm daily.

**In Room Dining:** Available from 6 am to 11 pm.



# SCHEDULE OF EVENTS

## Friday, October 2 *continued*

12:00 – 1:10 p.m. **Group Lunch - Grand Prefunction**

1:10 – 4:00 p.m. **AFTERNOON SESSIONS - Grand Ballroom, Salon 4**

1:10 – 1:15 p.m. **Program Announcements**  
**Sarah E. Gold, Esq.**, First Vice-Chair and Program Co-Chair

1:15 – 2:30 p.m. **PLENARY SESSION THREE: Grand Ballroom, Salon 4**  
**SEC EXAMINATION ISSUES FOR INVESTMENT ADVISERS TO PRIVATE FUNDS.**  
Our panelist's will address current SEC examination issues for investment advisers to private funds based on their extensive experience as examiners in the SEC's New York Regional Office Investment Adviser / Investment Company Examination Program.

**Panelists:** **Majid S. Mahmood, CFE**  
U.S. Securities & Exchange Commission  
Private Funds Unit  
New York City

**Brian M. Caravello, Esq.**  
U.S. Securities & Exchange Commission  
Private Funds Unit  
New York City

2:30 – 2:45 p.m. **Refreshment Break**

2:45 – 4:00 p.m. **CONCURRENT BREAKOUT SESSIONS - PLEASE SELECT ONE**

**Breakout A: Grand Ballroom, Salon 4**  
**Committee on Bankruptcy Law: STRUCTURED DISMISSALS: JUDICIAL EFFICIENCY OR IMPERMISSIBLE SUB ROSA PLANS?**  
This seminar will focus on the increased proliferation of structured dismissals of Chapter 11 cases and analyze in what instances they comport with the provisions of the Bankruptcy Code.

**Panelists:** **Matthew V. Spero, Esq.**  
Rivkin Radler LLP  
Uniondale

**Stuart I. Gordon, Esq.**  
Rivkin Radler LLP  
Uniondale

**Breakout B: Grand Ballroom, Salon 2**  
**Committee on Banking Law: AML COMPLIANCE - STORIES FROM THE FRONT LINE**  
This panel discussion will focus on current trends in AML compliance with a representative of the FDIC and three bank officers responsible for AML compliance.

**Panel Chair:** **Kathleen A. Scott, Esq.**  
Norton Rose Fulbright US, LLP  
New York City

**Panelists:** **Ashby G. Hilsman, Esq.**  
Federal Deposit Insurance Corporation  
New York City

**Juan Ducali, Compliance Officer**  
United Nations Federal Credit Union  
New York City

**James Terry**  
NBT Bank  
New York City

**Tanweer S. Ansari, Esq.**  
First National Bank of Long Island  
Glen Head

# SCHEDULE OF EVENTS

## Friday, October 2 *continued*

4:45 – 7:00 p.m.

### **SLEEPY HOLLOW - THE ULTIMATE OCTOBER DESTINATION!**

Optional Tour and Performance

Thousands descend on the town every year for its October festivities. Few cities evoke Halloween's horrifying images as does the setting of Washington Irving's immortal work, "The Legend of Sleepy Hollow."

**Join us for a WALKING TOUR OF SLEEPY HOLLOW CEMETERY followed by a performance of IRVING'S "LEGEND"**, by master storyteller Jonathan Kruk, in the story's original setting, the **Old Dutch Church**. We will creep through the winding roads and soaring monuments of the Cemetery. Trace the footsteps of Irving's most famous character - Ichabod Crane, in "The Legend of Sleepy Hollow" - as we visit the author's final resting place on our one-hour trek. Hear about Irving's life and his tremendous influence on the area. Learn about cemetery symbolism; see some of the beautiful art and architecture of this historic 166-year old place. A visit to the Receiving Vault (the crypt of Barnabas Collins in *Dark Shadows*) provides just the right amount of spooky to get into the Halloween spirit! From the Cemetery, we visit the church to hear Irving's **Legend**, the dramatic telling of his 1820 folktale, featuring the Headless Horseman, Ichabod Crane, Brom Bones, and Katrina Van Tassel. "Haunting" organ music is woven throughout the spellbinding show. **Shuttle departs hotel at 4:45 p.m.**

**Preregistration required on Meeting Registration form. Limited Tickets Available. \$40 Fee. Immediately following the tour & performance, attendees will be dropped at Tappan Hill for reception and dinner.**



7:30 – 10:30 p.m.

### **Cocktail Reception & Dinner at Tappan Hill Mansion,** 81 Highland Ave, Tarrytown

Tappan Hill Mansion is located on the former estate of Mark Twain in the scenic Hudson Valley. Nestled on a hilltop overlooking the Hudson, this stunning stone structure features luxurious rooms and a garden terrace.

**Shuttle will depart from the hotel at 7:15 pm. For those who prefer to drive, directions will be provided.**





# SCHEDULE OF EVENTS

## Saturday, October 3

7:00 – 9:00 a.m. **Breakfast on Your Own**

8:00 a.m. **Registration**

9:00 – 11:45 a.m. **PLENARY SESSIONS - Grand Ballroom, Salon 4**

9:00 a.m. **Program Announcements**  
**Kathleen A. Scott**, Program Co-Chair

9:05 – 10:20 a.m. **PLENARY FOUR:  
VIRTUAL CURRENCY & CRYPTOCURRENCY ISSUES**  
Unlock the mystery of what is cryptocurrency is and the regulatory issues surrounding it. Our panel includes a representative of the first authorized virtual currency exchange in New York, itBit Trust Company LLC.

**Moderator** **Peter W. Rothberg, Esq.**  
Reitler Kailas & Rosenblatt LLC  
New York City

**Panelists:** **Gabriel I. Hildalgo** **Susan L. Ross, Esq.**  
itBit Trust Company LLC Norton Rose Fulbright US LLP  
New York City New York City

**Kathleen A. Scott, Esq.** **Mary Beth Buchanan, Esq.**  
Norton Rose Fulbright US LLP Bryan Cave LLP  
New York City New York City

10:20 – 10:30 a.m. **Coffee Break**

10:30 – 11:45 a.m. **PLENARY FIVE:  
MOBILE/INTERNET BANKING**  
Join us for a discussion on the latest innovations in mobile/internet banking and their regulatory innovations.

**Panel Chair:** **Jay Hack, Esq.**  
Gallet Dreyer & Berkey LLP  
New York City

**Panelists:** **Ashby G. Hilsman, Esq.** Additional Panelist to Be Announced  
Federal Deposit Insurance Corporation  
New York City



# THINGS TO DO

## Lyndhurst

Lyndhurst, one of America's finest Gothic Revival mansions, designed in 1838 by Andrew Jackson Davis sits in a glorious park-like setting overlooking the Hudson River. Owned by railroad magnate Jay Gould after 1880, the mansion is fully furnished and contains collections of 19th and 20th century decorative arts. [www.lyndhurst.org](http://www.lyndhurst.org)  
**635 South Broadway (Route 9), Tarrytown 10591 | 914-631-4481 | [www.lyndhurst.org](http://www.lyndhurst.org)**

## Kykuit

Kykuit - the Rockefeller Estate. Landmark home to four generations of the Rockefeller family. Tours of the main rooms of the stone house, terraced gardens with a collection of 20th century sculpture; art galleries with works of Picasso, Moore, Calder, Nevelson and Smith; and Coach Barn.  
**381 North Broadway, Sleepy Hollow 10591 | 914-631-9491 | [www.hudsonvalley.org](http://www.hudsonvalley.org)**

## Philipsburg Manor

Late 17th-early 18th century milling, farming and trading complex was part of the Philips estate, tenanted European farmers, operated by enslaved Africans. Costumed interpreters lead tours of the manor house, grist mill, barn, slave garden and farmhouse. Museum shop, picnic area, and café. During October, **Horseman's Hollow** takes the tale of The Legend of Sleepy Hollow to its darkest extremes, returning the Manor for 15 evenings of highly entertaining haunted mayhem. Philipsburg Manor transforms into a terrifying landscape ruled by the undead, the evil, and the insane. Visitors begin walking a haunted trail, stumbling upon scary scenes of a town driven mad by the Headless Horseman. Elaborate costumes and the work of award-winning feature-film makeup artists make it all too real. Appropriate for ages 10+. Nights of Oct. 2-3: First entry at 7 pm, last entry at 10:00 pm. Advance Tickets Required.



**Route 9, Tarrytown 10591 | 914-631-3992 | [www.hudsonvalley.org](http://www.hudsonvalley.org)**

## Washington Irving's Sunnyside

Hear about Washington Irving's storied past and how he came to be America's first internationally famous author, best remembered now for The Legend of Sleepy Hollow and other short stories. During October, a daytime visit here is the perfect prelude to an evening at Blaze, Horseman's Hollow, or Irving's 'Legend.' Irving's fascinating home – a colorful blend of architectural styles – will showcase numerous objects related to Irving's famous story. Visitors can enjoy a shadow puppet performance of The Legend of Sleepy Hollow and experience one of Irving's spooky tales on a walk through the woods. Recommended for all ages. Oct. 3 - 4. Advance Tickets Required.

**West Sunnyside Lane, off Route 9, Tarrytown. Call 914-631-8200 or 914-591-8763 for information.**

## The Great Jack O'Lantern Blaze

See more than 7,000 individually hand-carved, illuminated jack o' lanterns in this elaborate walk through experience. Meander through an historic, 18th-century riverside landscape and discover a breathtaking display -- all made of jack o' lanterns! Tens of thousands of visitors experienced last year's Blaze®, which was sold out EVERY NIGHT! Complete with sound effects, elaborate synchronized lighting and an all-original soundtrack by recording artist Richard Christy, this not-to-be-missed spectacle is the area's most innovative Halloween happening. Oct. 2 - 4; Advance Tickets Required. Purchase online starting Sept. 1 at [www.hudsonvalley.org/events/blaze/faqs](http://www.hudsonvalley.org/events/blaze/faqs)

**Van Cortlandt Manor, South Riverside Avenue off Route 9, Croton-on-Hudson**



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**MEETINGS DEPARTMENT**  
One Elk Street, Albany, NY 12207