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Title: **Top Ten List: Lessons Learned from White Collar Crime**

Presenter: Henry (Hank) Shea

Date: Wednesday, September 21, 2022

Time: 3:30-4:30 PM

Location: Bavaria Downs | 3919 Bavaria Rd, Chaska, MN 55318

CE Credits: This educational offering is APPROVED by the Minnesota Commissioner of Commerce as satisfying 1.0-hour of Standard classroom credit toward continuing insurance education requirements for each hour attended.
CFP: 1.0-hour Standard credit PENDING
CLE: 1.0-hour Standard credit PENDING
A certificate of attendance is available for individuals requesting CPE and PRP (Professional Recertification Program – formerly PACE) credits.

Who Should Attend: Estate planners, financial planners, investment advisors, insurance producers, retirement counselors, CPAs and JDs

Level of Complexity: Overview

Course Description:

From my experiences prosecuting white collar crime and conducting joint ethics presentations, I developed a top ten list of lessons learned from white collar crime offenders and how they compromised their ethics, integrity, and reputation.

Learning Objectives:

- Learn from the failures of others
- Identifying the slippery slope
- Guarding yourself

Outline:

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| I. | Introduction | 10 minutes |
| II. | Insider Trading – an innocent crime? | 10 minutes |
| | a. Stories from the field | |
| | b. Lessons from the stories | |
| III. | Guard Against that First Intentional Misstep | 5 minutes |
| | a. Questionable documents | |
| | b. Directions from unethical people | |
| IV. | Lead By Example, no matter what | 10 minutes |
| | a. Avoid the perils of willful blindness | |
| V. | Seek advice and counsel from others | 10 minutes |
| | a. Never bury or cover up mistakes | |
| | b. Do not compound mistakes | |
| VI. | Greed is a Vicious Vice | 5 minutes |
| VII. | No One is Above the Law | 5 minutes |
| VIII. | Above all else, do three things | 5 minutes |
| | a. Act with integrity | |
| | b. Exhibit courage | |
| | c. Honor your reputation | |

Total Time: 60 Minutes

Instructional Materials for Registered Attendees:

Handouts, if any, will be included in the handout tab at Finaroo.org

Examination & Answers: No exam