

Addendum to Interview with Robert Davenport
Rocky Mountain Securities Conference
July 13, 2007

A good example of working closely in those days with other Federal and state regulators was the formation of the first Rocky Mountain Securities Conference. Forty years ago, Hugh Owens, then SEC Commissioner, called the Denver SEC office and asked us to start an annual co-operative enforcement conference with other Federal, state and local regulators.

Commissioner Owen, at one time, was state securities commissioner of Oklahoma.

At our first conference, we had seven regulators from six states around a table with a pot of coffee. Each year thereafter, attendance grew. During the early years, participants included state securities commissioners from the Midwest Securities Administrators Association, representatives of the U.S. Attorney's offices, FBI, Postal Inspectors and several state agencies.

In later years, the conference was opened to lawyers, accountants, representatives from reporting companies, etc. The Rocky Mountain Securities Conference is now jointly sponsored by the SEC Denver Regional Office and the Colorado Bar Continuing Legal Education, headed by Gary Abrams. The 2007 conference had in excess of 400 participants.