

Overview of the SEC, and AAI Stock Superstars

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**Join the AAI –PORTLAND CHAPTER on
SATURDAY, November 12th 9am-12 noon**

[Register on-line now](#)

*We're wrapping up the year with a great double-header!
Get a regulatory update from the SEC, and,
learn more about how to use AAI's Shadow Stock Portfolio*

**“Overview of the work of the SEC and current rulemakings
impacting retail investors.”**



**Lori Schock
Director Office of Investor Education & Advocacy,
US Securities and Exchange Commission**

In addition to an overview of the work of the Commission, Lori will discuss regulatory changes affecting individual investors including the Jumpstart Our Business Startups Act (JOBS Act). The JOBS Act establishes the foundation for a regulatory structure for startups and small businesses to raise capital through securities offerings. Attend This Meeting and Learn...

1. Overview of the work of the SEC
2. Recent SEC regulatory changes
3. The impact on retail investors

Lori Schock is the Director of the Securities Exchange Commission's Office of Investor Education & Advocacy (OIEA). Under her leadership, the Office has been the driving force for multiple investor testing initiatives & diverse studies on investor issues for the Commission. Lori has testified before Congress; is regularly quoted by the media on investor protection issues; and, presents workshops to investors & other regulators & market participants both domestically and internally. Lori has also worked for FINRA's Office of Investor Education and started her career at the SEC in 2001 as a staff attorney, served as Special Counsel to the Director and was promoted to Deputy Director all in the same office that she leads today. Lori has a J.D. and Master's of Taxation.

“AAll Shadow Stock Portfolio: From Theory to Practical Application.”



John Bajkowski
President, AAll

This presentation will discuss AAll's popular Model Shadow Stock Portfolio. This model portfolio uses a quantitative approach to select and manage a value-oriented micro-cap stock portfolio. You'll learn about the theory and research behind the Model Shadow Stock Portfolio and what makes it tick. In addition, you'll find out how to go about building and managing your own personal version of AAll's Shadow Stock Portfolio using a few simple rules and investing a minimal amount of time. Attend This Meeting and Learn...

1. The theory and research principles behind AAll's Model Shadow Stock Portfolio
2. How you can use free AAll tools to build and manage your own portfolio of micro-cap stocks
3. How to use buy and sell rules to overcome emotional roadblocks to investing

John M. Bajkowski is the president and chief executive officer of AAll. He has written a wide range of stock analysis and screening articles for the AAll Journal, Computerized Investing, Dividend Investing, Stock Superstars Report and AAll.com. Bajkowski developed Stock Investor Pro, a software program and dataset that brings sophisticated stock research, analysis and screening of U.S. publicly traded stocks into the hands of the individual investor. He oversees the fund data and analysis for the Top Mutual Funds Guide, the ETF Guide and the Quarterly Low-Load Mutual Fund Update, and was editor of Computerized Investing from 1992-2006. His remarks have appeared in Barron's, Businessweek, Money, The Wall Street Journal, and numerous other media.

SATURDAY, Nov. 12th MEETING DETAILS

Details: Welcome, Lori Shock's presentation starts, followed by Q & A. There will be a refreshment break with coffee, tea and cookies. John Bajkowski will be our second speaker. We adjourn at 12 noon.

LOCATION: East Portland Community Center, 740 SE 106th Ave, Portland, OR 97216

Directions: From I-205 take Stark Street exit #20. Drive east on SE Washington, turn right onto SE 106th Ave. The community center is just ahead on the left side of street.

REGISTRATION & COST:

*\$20 at the door, beginning at 8:40AM (NO CREDIT CARDS ACCEPTED AT DOOR)

*\$15 in advance **by 11/10 by 5 pm** with a credit card at: [Eventbrite](#)

*\$15 in advance by sending a check postmarked **by 11/9** to:

AAll Portland Chapter,
PO Box 66034,
Vancouver, WA 98666

\$FREE full time student and under 18 is **FREE**, with student ID.

NOTE: Meetings are **open** to AAll members and non-members.

DVD of the SESSION:

1. Order by adding \$10 to your registration fee.
 2. If you did not register to attend the event, you can order a DVD by mailing a check for \$20 to AAIL Portland Chapter, PO Box 66034, Vancouver, WA 98666
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