

FINRA, SEC and State Securities Enforcement Trends

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Susan Light, a partner in the Financial Markets and Funds practice, will participate in the "FINRA, SEC and State Securities Enforcement Trends" on-demand webinar on Tuesday, June 29. Panelists will discuss FINRA, the SEC and state regulators' enforcement priorities and methodologies, and examine lessons from recent cases that shed light on how firms and their employees can avoid becoming the subject of an enforcement proceeding.

[Learn more and view the "FINRA, SEC and State Securities Enforcement Trends" webinar.](#)

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