

## FINRA, SEC and State Securities Enforcement Trends

**Presented by RegEd**

August 2, 2022

Susan Light, a partner in the Financial Markets and Funds practice, will participate in the "FINRA, SEC and State Securities Enforcement Trends" webinar at 12:00 p.m. (ET) on Tuesday, August 2. The webinar will include a conversation on the unprecedented sanctions that have occurred as a result of FINRA, the SEC and state regulators' enforcement efforts in recent years. Panelists will discuss these regulators' enforcement priorities and methodologies, and examine lessons from recent cases and examination sweeps that shed light on how firms and their employees can avoid becoming the subject of an enforcement proceeding. They will also discuss proposed rulemaking by the various regulators and its impact on the future enforcement landscape.

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

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### CONTACTS

For more information, contact your Katten attorney or any of the following attorneys.



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