Katten

EVENT

Across the Table from the SEC: Defending and Handling SEC Investigations

April 2, 2009

Partners Gary N. Distell, Anthony L. Paccione, Gil M. Soffer, Joel W. Sternman and Meryl E. Wiener will present the second SEC-related seminar, this time covering the negotiation phase with the SEC. The topics to be discussed include:

- Enforcement direction
- SEC's perspective: What triggers an enforcement subpoena?
- The formal order: What the SEC can do. What you can do.
- Tactical considerations in testifying
- The Wells process: Settle or litigate?
- The role of FINRA

CONTACTS

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



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