

Dealing With the Second Shoe to Drop: How to Respond to the Inevitable FINRA Inquiry After Your Stock Price Moves

JUNE 27, 2019
WEBINAR

Like night follows day, just when you've recovered from the recent dip (or jump) in your stock price and the dust has started to settle, you get a call from FINRA.

Whether you've been through the drill before or not, you need to be ready to turn into an investigator/regulatory lawyer/litigator and put together a quick response that will be discoverable in any related litigation. Should you engage outside counsel? What are the various steps in this process? What jurisdiction does FINRA have? This webinar is for those who haven't dealt with such an inquiry before, and also for those who have been through the process but want to know more about where the traps are and how to avoid them.

Participants will have the opportunity to contribute questions online and to interact with panelists throughout the webinar.

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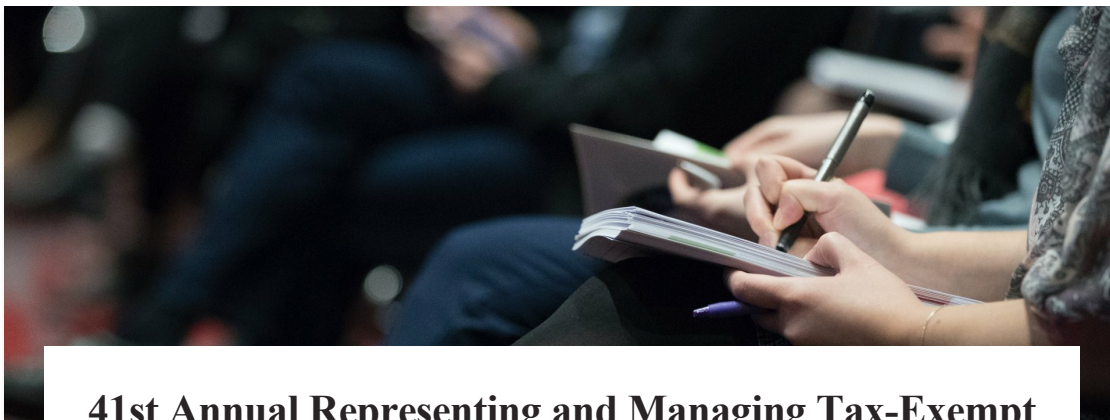
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