

ABA 10th Annual National Institute on Securities Fraud

OCTOBER 1-2, 2015

Each year, this National Institute draws elite officials from both the US Department of Justice and the US Securities and Exchange Commission for an exclusive educational and professional forum to examine current legal and ethical issues relating to securities fraud.

This year's program highlights include:

- The Administrative Proceeding Challenge: How Can You Effectively Fight on the SEC's Home Court?
- Newman, High Frequency Trading—What Exactly Are the Limits of Securities Fraud?
- Whistleblower or Snitch? Pre-taliation, Retaliation and Multi-Million Dollar Awards

WilmerHale Partner Doug Davison will speak on the panel “Broken Windows and Self Disclosure Decisions in the World Where Everything is Enforced.” Now that even minor infractions are in the gun sights of regulators, the decisions on when and what to self-report become more challenging than in the past. Do SROs like FINRA and state regulators have a role anymore? Do books and records violations really portend more serious violations, like bribery? Do blue collar law enforcement techniques apply to white collar infractions? And, finally, does the SEC really want everyone to report every minor “broken window” infraction?

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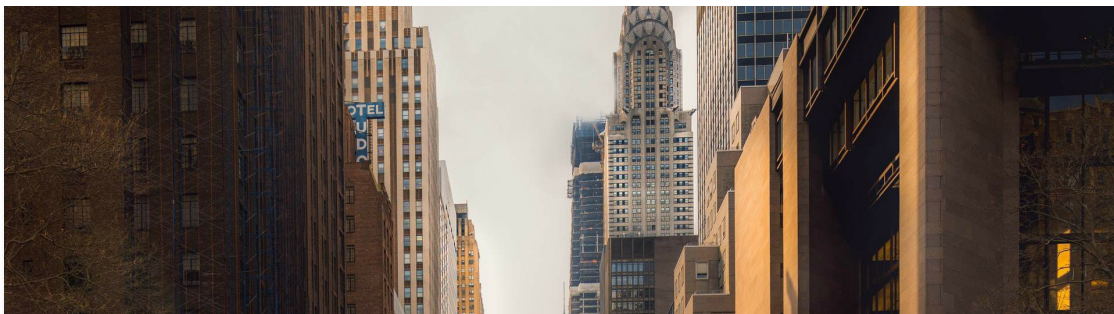
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