

Big Changes Afoot: How to Handle a SEC Enforcement Inquiry Now

MAY 21, 2014

Now that the SEC has dramatically overhauled some of its enforcement processes and procedures under a new Chair and Enforcement Director, it's more important than ever to understand how the Division of Enforcement's investigative process works. In this webinar, industry leaders will provide practice pointers on which approaches work for many different types of investigations that exist today.

The webinar will address the following questions:

- How does the SEC's latest settlement policy affect how you should respond to an enforcement inquiry? What does the SEC staff require to be "cooperative"?
- What are the distinctions between formal and informal investigations, specifically the rights and obligations associated with each type of investigation?
- How to respond to different ways that the SEC gathers information, including investigative testimony, document requests, and the subpoena enforcement process
- What types of disclosures—if any—should be made during the different stages of an SEC enforcement action?
- How does the relationship between the SEC and the DOJ impact how you approach an inquiry?

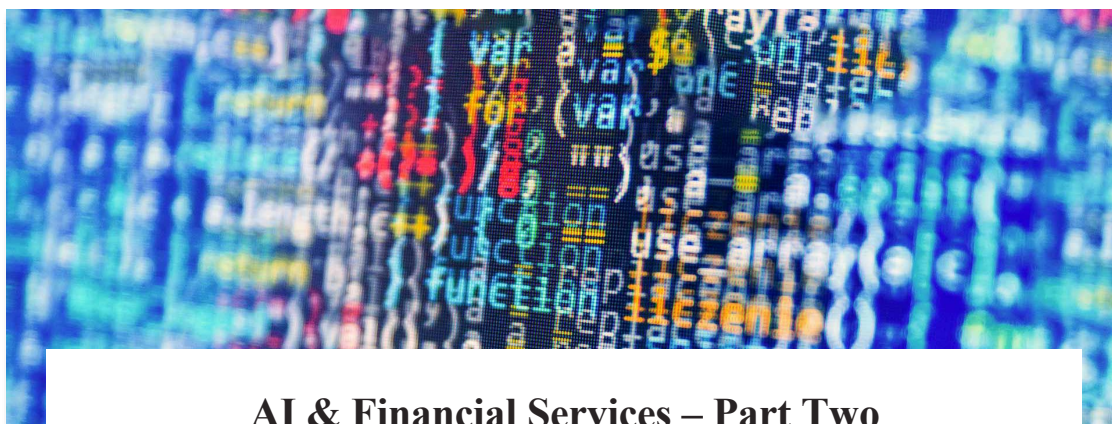
WilmerHale Partner Randall Lee is a featured speaker at this event.

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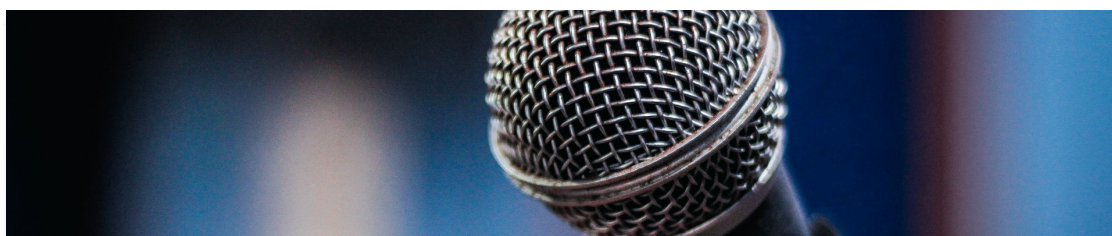
WEBINAR



28th Annual Compliance Institute

APRIL 16, 2024

SPEAKING ENGAGEMENT



A close-up, blurred image of a microscope, showing the eyepiece and part of the body tube, set against a dark background with blue and purple light accents.

A Look Behind the Curtain – Being an Arbitrator or Tribunal Secretary in Turkish and Swiss Arbitrations

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