

Fundamentals of Broker-Dealer Regulation 2010

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Major changes in broker-dealer regulation and the industry are anticipated as a result of the financial services crisis. At the same time, the merger of the NYSE and NASD has resulted in one securities regulatory organization, FINRA, and marks the beginning of a new regime with a new rulebook. This Practising Law Institute (PLI) program will provide attendees with a solid foundation in the regulatory regime applying to broker-dealers, including what to expect next regarding broker-dealer regulation. Attendees will learn how the Securities and Exchange Act of 1934, FINRA rules and state securities laws interact in governing the brokerage industry.

Attendees will also learn about recent regulatory enforcement activity by the SEC, FINRA, and the States and about how broker-dealers are responding to these developments and the challenges ahead for the industry.

WilmerHale partner Andre Owens is a featured speaker for this event, presenting on a panel entitled "A Look to the Future."

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Speakers




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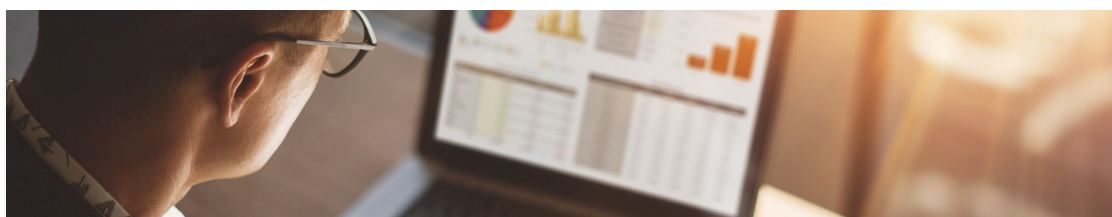
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