

PLI's Fundamentals of Broker-Dealer Regulation 2013

JUNE 24, 2013

Major changes in broker-dealer regulation and the industry have come about as a result of the financial services crisis and the resulting regulatory reform. At the same time, FINRA's overhaul of its rulebook as part of its Rulebook Consolidation process is almost complete. This event 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 Exchange Act of 1934, FINRA rules and state securities laws interact in governing the brokerage industry.

WilmerHale Partner Stephen Luparello will be a featured speaker at this event.

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