

Practising Law Institute: ABCs of Broker-Dealer Regulation 2008

2008-05-08

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. Further, a distinguished faculty of practitioners and regulators, including current and former officials of the Securities and Exchange Commission and FINRA will offer insights into recent rulemaking that is having far-reaching impact on the governance and day-to-day operations of firms.

WilmerHale partner, Andre Owens will be a featured speaker at this event, presented by PLI.

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Speakers



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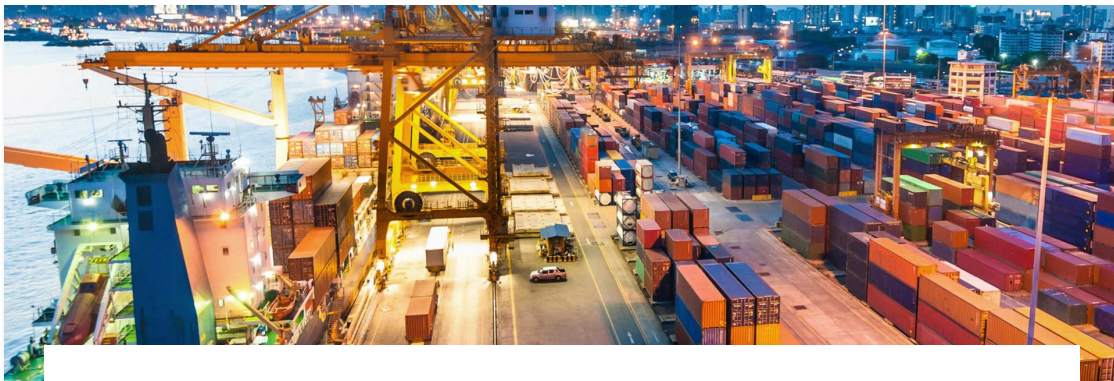
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