

Practising Law Institute: Coping with Broker/Dealer Regulation and Enforcement

2008-10-29

This program, presented by PLI, will feature a panel of expert faculty who will discuss ways that will help one cope with the changes in Broker/Dealer enforcement and regulation, including issues underlying the financial market crisis, and the examination and enforcement priorities of the SEC, SRO's and state regulators. In addition, senior in-house regulatory lawyers will offer practical advice regarding self-reporting, cooperation, remediation and managing the regulatory process, while senior litigators will discuss developments in private litigation, parallel investigations and privilege waivers.

WilmerHale partner Harry Weiss will speak on a panel entitled, "SEC and SRO Enforcement Developments."

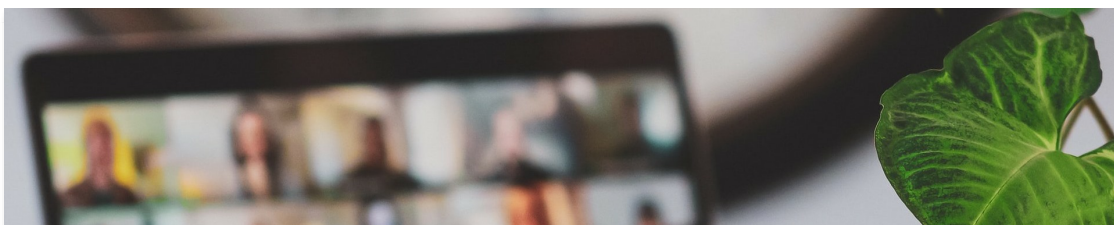
[READ MORE ABOUT THE EVENT](#)

Related Solutions

Securities Litigation

Investment Management

You May Be Interested In





AIPLA Claim Construction Webinar

APRIL 25, 2024

SPEAKING ENGAGEMENT



PLI's Corporate Governance – A Master Class 2024

APRIL 25, 2024

SPEAKING ENGAGEMENT



FIA Law & Compliance Division Conference 2024

APRIL 24–26, 2024

SPEAKING ENGAGEMENT

[VIEW ALL EVENTS](#)
