

Securities Industry and Financial Markets Association: 40th Annual Seminar

MARCH 30-APRIL 2, 2008

The creation of FINRA earlier this year combined the NYSE and the NASD to mark a new era in SRO regulation. The impact of the subprime lending issues have been felt across all aspects of the Securities industry. This seminar, presented by SIFMA, was designed to help attendees address the challenges created by this impact.

WilmerHale partners Brandon Becker, Yoon-Young Lee, Lori Martin, Harry Weiss and senior counsel Marianne Smythe were all panelists at this event:

Brandon Becker - "Equity Market Structure Issues"

Yoon-Young- "Managing Information Barriers - the New Control Room"

Lori Martin - "Internal Investigations"

Harry Weiss- "Ethical Considerations of an In-House Lawyer"

Marianne Smythe- "Fee Based Brokerage Accounts - Is There Life After FPA vs. SEC?"

[READ MORE ABOUT THE EVENT](#)

Speakers



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