

## Securities Industry Association – Compliance & Legal Division: Fall Compliance Seminar

NOVEMBER 13, 2006

Brandon Becker, Stephen Cutler, Marianne Smythe and Harry Weiss participated as panelists at this one day seminar hosted by the SIA. The event featured presentations by industry professionals and leading securities regulators concerning current enforcement issues, securities offering reform and supervisory issues for broker-dealers, among other topics.

[READ MORE ABOUT THE EVENT](#)

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APRIL 24, 2024

SPEAKING ENGAGEMENT



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APRIL 25, 2024

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