

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 thisone dayseminar hosted by the SIA. The event featured presentations by industry professionals and leading securities regulatorsconcerning current enforcement issues, securities offering reform and supervisory issues for broker-dealers, among other topics.

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