

## SIFMA: Compliance & Legal Society New York Regional Seminar 2012

NOVEMBER 14, 2012

Please join SIFMA for the Compliance & Legal Society New York Regional Seminar 2012. Topics covered will include:

- Current Regulatory Issues
- Derivatives – Dodd-Frank Implementation Updates Retail Compliance
- Impact of the US Federal Election on the Financial Industry
- Recent Case law and Implementing an Effective Ethics Program
- Current Institutional Sales, Trading and Research Issues
- Enforcement & Exams

WilmerHale Partner Stephen Luparello is a featured speaker at this event.

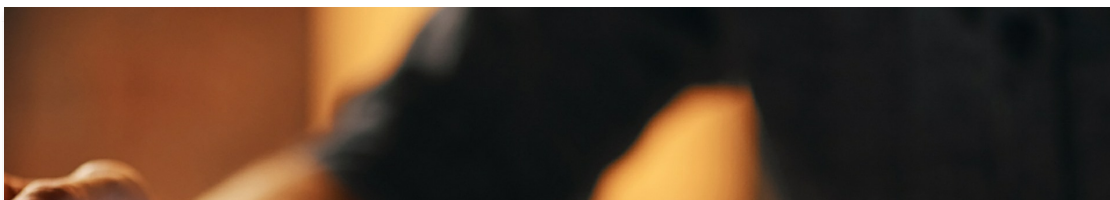
[READ MORE ABOUT THE EVENT](#)

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Securities Litigation

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## **SIFMA Basel III Endgame Roundtable**

APRIL 18, 2024

**SPEAKING ENGAGEMENT**



## **CFTC 2023 Year in Review and a Look Forward Webinar**

APRIL 18, 2024

**WEBINAR**



## **Pharmaceutical Compliance Congress (PCC) 2024**

APRIL 16–18, 2024

**SPEAKING ENGAGEMENT**

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