

The District of Columbia Bar: Introduction to Securities Law: How the Securities Exchange Act of 1934 Works

2009-03-31

This class, presented by the DC Bar, gave attendees an overview of the Securities Exchange Act of 1934, including consideration of who is covered and disclosure requirements in annual and quarterly reports, proxy solicitations, and shareholder proposals. Faculty members also discussed the implications of the Sarbanes-Oxley Act and related regulations. The second half of this session addressed the regulation of broker-dealers; the SEC, FINRA, and other regulatory organizations; registration and discipline; market manipulation; supervisory liability and current issues.

WilmerHale senior associate Jaime Klima was a featured speaker at this class.

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