

Securities Litigation & Enforcement Seminars & Training Sessions

Stradley Ronon routinely conducts educational seminars and training sessions on various topics – at no cost to your organization. Our attorneys are happy to customize programs for your staff and in-house counsel at your convenience.

Securities Litigation & Enforcement

Hot Topics

- Senior Investors and Financial Privacy
- Department of Labor Fiduciary Rule
- Current Regulatory Priorities
- Whistleblower Developments
- Foreign Corrupt Practices Act (FCPA)
- Disclosing a Government Investigation

SEC Focus on Financial Fraud

- Financial Reporting and Audit Task Force
- New Analytical Tools
- Recent SEC Initiatives
- Considerations for Your Business

Structured Products

- What is a Complex Product?
- Heightened Supervision of Complex Products: What Does it Entail?
- General vs. Product Suitability
- Recent Enforcement Actions
- Discovery
- Best Practices – Product Cases

FINRA Arbitration

- Considerations in Arbitration Ranking
- Effective Pleadings
- Use of Experts
- Case Presentation Do's and Don'ts
- Current Issues Regarding Expungement

Attorney/Client Privilege and Work Product Doctrine

- What is the Attorney/Client Privilege?
- What is the Work Product Doctrine?
- Confidentiality and Emails – Protecting the Privilege
- Waiver
- Current Cases
- Best Practices

Seminars & Training Sessions

Internal Investigations in the Era of the Whistleblower

- Initial Considerations: When, What, Who and How?
- Whistleblower Provisions and Considerations
- Conducting an Effective, Cost-Sensitive Investigation
- Reporting About the Investigation

Handling an SEC Enforcement Investigation

- The Current SEC Enforcement Environment
- Responding Efficiently and Effectively to the SEC's Requests
- Avoiding or Navigating Through the "Wells" Process
- Settling or Litigating With the SEC

Regulatory Settlements

- Future of "No Admit No Deny" Settlements with the SEC
- Collateral Impact of Admissions
- Crafting a Settlement to Avoid Painful Ramifications

Cybersecurity

Cybersecurity Concerns

- Threats Facing Small to Medium-Size Businesses (Including Independent Contractor and Branch Offices)
- Regulatory and Compliance Issues
- External Threats to Cybersecurity (Phishing, Ransomware and DDoS Attacks)
- Essential Elements of a Strong Vendor Agreement
- Framework Governing Data Breach Reporting
- Avoiding Internal Threats (Intentional and Unintentional)
- Coverage and Critical Questions to Ask When Looking for Cyber Insurance Coverage

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