Securities Litigation & Enforcement

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