Something Wicked This Way Comes - How to Survive an SEC Investigation and Enforcement Action

Join Polsinelli’s FinTech and Regulation Practice for a webinar on how to survive an SEC investigation and enforcement action.

This webinar will discuss what to do when the SEC contacts your firm, requests information from your firm, and issues subpoenas for documents and testimony.

Agenda

- What Triggers an SEC Investigation
- Formal Investigations – the Order
- Subpoenas and Testimony
- The Well Process
- The Value of Cooperation
- Privilege Waivers
- How to Negotiate a Settlement with the SEC
- How to Manage Parallel Criminal Proceedings

The webinar will conclude with a discussion of the SEC’s 2020 examination priorities. CLE credit pending.

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