



C&L REGIONAL SEMINAR

SEPTEMBER 18, 2017 | THE RITZ-CARLTON



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Greenberg Traurig has one of the broadest and deepest broker-dealer practices in the country, with team members located in key geographic locations nationwide. We help our clients formulate strategies and take steps to limit litigation and regulatory risk. We regularly serve as lead defense counsel in complex, high stakes enforcement matters before the SEC, FINRA and state regulators. Our trial experience in court and arbitration across the nation is unparalleled: the members of our team have collectively tried to conclusion well over one thousand matters involving a wide variety of issues facing the financial services industry. The value we can provide is enhanced by our commitment to work closely with attorneys in related disciplines throughout the firm.

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Networking Luncheon

McGuireWoods' Broker-Dealers and Investment Advisers Team has decades of experience working inside the SEC, U.S. Attorneys' Offices, State Attorneys General, and state securities divisions.

Our combination of transactional, litigation and regulatory knowledge means we have a deep understanding of how various broker-dealers and investment advisers operate, the policies of the bodies that govern them, and the nuances of negotiating with the government and SROs.

McGuireWoods guides clients through examinations, enforcement actions and criminal prosecutions by getting involved early, providing valuable insight into the investigative process, addressing compliance concerns and devising strategic responses. Our team conducts internal investigations and audits, generating practical advice for clients on establishing and strengthening compliance and supervisory programs. We address issues before they develop into formal investigations, however in the event of an investigation, we provide effective and strategic advocacy in order to defeat or curtail the prospect of formal charges or claims against our client.

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The Morgan Lewis logo consists of a solid purple square with the words "Morgan Lewis" in white, sans-serif font centered within it.

Morgan Lewis

Morning Networking Refreshments

For more than 30 years, Morgan Lewis's Securities Enforcement Practice has represented financial institutions, public companies, and senior executives in regulatory investigations and enforcement proceedings conducted by the US Securities and Exchange Commission (SEC), the US Department of Justice (DOJ), and other governmental agencies, as well as all major self-regulatory organizations, including FINRA. The group also conducts internal investigations and acts as an independent consultant to firms in matters arising out of regulatory settlements. Our team includes former high-ranking government prosecutors and veteran SEC lawyers. These include a former director of the SEC's Chicago office and a former Chief Litigation Counsel for the Division of Enforcement, as well as more than 20 other former SEC attorneys. We also have practitioners who previously worked at the DOJ and FINRA, as well as several former government prosecutors from districts across the United States.

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Networking Cocktail Reception

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