



C&L REGIONAL SEMINAR

SEPTEMBER 18, 2017 | THE RITZ-CARLTON



GOLD SPONSOR



Note Pad/Writing Tablet & Pen

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.

Contact: Terry R. Weiss, Shareholder, Greenberg Traurig LLP, Terminus 200, 3333 Piedmont Road, Suite 2500, Atlanta, GA 30305 | 678.553.2100 | weisstr@gtlaw.com | www.gtlaw.com

Learn more about [Greenberg Traurig LLP](#) (PDF)

SILVER SPONSORS



Afternoon Networking Refreshments

Dealing with complex issues of fraud, regulatory compliance and business disputes can detract from efforts to succeed. Better management of fraud risk and compliance exposure is a critical business priority — no matter the size or industry sector. With over 4,500 fraud investigation and dispute professionals around the world, we will assemble the right multidisciplinary and culturally aligned team to work with you and your legal advisors. We work to give you the benefit of our broad sector experience, our deep subject matter knowledge and the latest insights from our work worldwide.

Contact: Christopher Sercy, Americas Co-Lead, Financial Services, Fraud Investigation & Dispute Services, EY
| 212.773.3916 | 704.331.1989 | chris.sercy@ey.com | www.ey.com

McGUIREWOODS

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.

Contact: Ghillaine A. Reid, Partner, McGuireWoods LLP, 1345 Avenue of the Americas, 7th Floor, New York, NY 10105
| 212.548.7041 | greid@mcguirewoods.com | www.mcguirewoods.com



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.

Contact: Timothy P. Burke, Partner, Head of Securities Enforcement and Litigation Practice, Morgan, Lewis & Bockius LLP, One Federal Street, Boston, MA 02110
617.951.8620 | timothy.burke@morganlewis.com | www.morganlewis.com

Learn more about [Morgan, Lewis & Bockius LLP](#) (PDF)

SPONSORS

BASS BERRY SIMS

Digital Seminar Guide

With more than 270 attorneys representing numerous publicly traded companies and Fortune 500 businesses, Bass, Berry & Sims has been involved in some of the largest and most significant litigation matters, investigations and business transactions in the country.

Contact: Michael Brady, Bass, Berry & Sims PLC, 100 Peabody Place, Suite 1300, Memphis, TN 38103
| 901.543.5703 | mbrady@bassberry.com | www.bassberry.com



Networking Cocktail Reception

Consilio is a global leader in eDiscovery, document review and legal consulting services. Consilio supports multinational law firms and corporations using innovative software, cost-effective managed services and deep legal and regulatory industry expertise. The company has extensive experience in litigation, HSR second requests, internal and regulatory investigations, eDiscovery, information governance and compliance, law department management, document review, contract management and legal analytics. ISO 27001 certified, the company operates offices and data centers across Europe, Asia and the Americas.

Contact: Amy Hinzmann, Managing Director, Consilio, 4809 Westway Park Blvd, Houston, TX 77041
| 713.939.4570 | ahinzmann@consilio.com | www.consilio.com

Learn more about [Consilio](#) (PDF)

SIDLEY

Badge Lanyard

Sidley's Securities & Derivatives Enforcement and Regulatory group advises and defends clients in a wide range of securities- and derivatives-related matters. With more than 150 lawyers in 10 offices worldwide, we provide comprehensive regulatory solutions in matters involving the SEC, the CFTC, FINRA, PCAOB, SROs, state attorneys general, state securities regulators as well as international securities regulators. Recognized by *Chambers USA* as its 2016 Financial Services Regulation Team of the Year, and as a "go-to shop for both compliance and enforcement matters," and by *U.S. News – Best Lawyers* as its 2017 "Law Firm of the Year" in Securities Regulation, our team combines the know-how of prominent counseling lawyers with the skills of nationally-recognized enforcement lawyers. Through our experience with a broad spectrum of regulatory challenges and our involvement in nearly every major security- and derivatives-related enforcement initiative, we have built a powerful resource to meet clients' needs.

Contact: Barry W. Rashkover, Partner, Sidley Austin LLP, 787 Seventh Avenue, New York, NY 10019
| 212.839.5850 | brashkover@sidley.com | Neal E. Sullivan, Partner, Sidley Austin LLP, 1501 K Street, N.W., Washington,
D.C. 20005 | 202.73. | nsullivan@sidley.com | www.sidley.com

Learn more about [Sidley Austin LLP](#) (PDF)