



# C&L2019 ANNUAL SEMINAR

MARCH 24-27 | JW MARRIOTT DESERT RIDGE, PHOENIX, AZ



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#### Event Mobile App Lunch & Learn – Monday, March 25<sup>th</sup>

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Lunch – Tuesday, March 26<sup>th</sup>

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After-Hours Reception – Tuesday, March 26<sup>th</sup>

Our White Collar and Regulatory Enforcement practice covers the full range of securities fraud investigations, including federal and state grand juries, and inquiries initiated by the U.S. Securities and Exchange Commission, Financial Industry Regulatory Authority, Commodity Futures Trading Commission, state attorneys general and other regulatory and investigative bodies. Our experienced team of enforcement defense lawyers consists of partners who excelled as federal and state prosecutors and enforcement attorneys at U.S. Attorney's offices, the Department of Justice, and the SEC. We advise clients on the full spectrum of issues related to investment, accounting, and financial reporting compliance, including: accounting and disclosure fraud investigations, anti-money laundering, economic sanctions and export controls, financial crimes, insider trading, investment advisor and broker-dealer regulation, market manipulation, privacy and data security, tax fraud, the False Claims Act and whistleblower or qui tam litigation, the Foreign Corrupt Practices Act, and the UK Bribery Act.

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## After-Hours Reception – Tuesday, March 26<sup>th</sup>

Ropes & Gray is one of the world's premier international law firms, with more than 1,200 lawyers serving clients across the globe. Our securities enforcement, litigation and regulatory practices are regularly recognized as some of the leading practices in the country by organizations including Chambers, Benchmark and US News. We have over 100 lawyers who specialize in defense of regulatory investigations, internal investigations, preventative counseling and private securities actions. This team includes numerous lawyers who have held high-level positions within key US Attorneys' Offices, the SEC, and the DOJ. We have 150 years of experience representing financial services firms in their corporate, regulatory and litigation needs. We bring that experience to bear in providing our clients with innovative, cost-effective, sophisticated solutions to their most complex securities litigation and enforcement challenges.

Contact: Hannah Boyaggi, Practice Development Manager, Ropes & Gray LLP | 617-854-2827 | [Hannah.Boyaggi@ropesgray.com](mailto:Hannah.Boyaggi@ropesgray.com) | [www.ropesgray.com/en/practices/securities-and-futures-enforcement](http://www.ropesgray.com/en/practices/securities-and-futures-enforcement)

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## Networking Reception – Monday, March 25<sup>th</sup>

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### Lunch & Learn – Tuesday, March 26<sup>th</sup>

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Contact: Richard F. Hans, Partner, Managing Partner, New York Office, US Co-Chair, Financial Services Sector, DLA Piper, 1251 Avenue of the Americas, New York, NY 10020 | 212.335 4530  
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**Lunch & Learn – Monday, March 25<sup>th</sup>**

**Networking Refreshments (Session 1) – Monday, March 25<sup>th</sup>**

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**Golf Tournament – Monday, March 25<sup>th</sup>**

Jones Day is a global law firm with more than 2,500 lawyers in 43 offices across five continents. The Firm is distinguished by: a singular tradition of client service; the mutual commitment to, and the seamless collaboration of, a true partnership; formidable legal talent across multiple disciplines and jurisdictions; and shared professional values that focus on client needs. Today's complex global financial markets require swift and strategic approaches to address the priorities of financial institutions, and our attorneys continue to guide clients through the global uncertainties affecting financial institutions. Jones Day's One Firm Worldwide approach allows us to create multi-office, cross-practice counseling, transactional and litigation teams to support our clients.

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# Moore & Van Allen

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## Continental Breakfast – Tuesday, March 26<sup>th</sup>

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#### Women's Luncheon – Tuesday, March 26<sup>th</sup>

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### Networking Refreshment (Session 2) – Monday, March 25<sup>th</sup>

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## Diversity & Inclusion Luncheon – Monday, March 25<sup>th</sup>

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## Welcome Hospitality – Sunday, March 24<sup>th</sup>

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### Lunch & Learn – Tuesday, March 26<sup>th</sup>

StarCompliance is the leading provider of compliance technology solutions. Trusted globally by enterprise financial institutions, the user-friendly STAR platform empowers organizations to achieve regulatory compliance while safeguarding their integrity and business reputations. Through a customizable, 360-degree view of employee activity, the STAR software enables firms to automate the detection and resolution of potential areas of conflict while streamlining daily workflows and increasing efficiency.

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### Diversity Breakfast – Tuesday, March 26<sup>th</sup>

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### Specialty Coffee Service – Tuesday, March 26<sup>th</sup>

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### New York Times – Newspaper Distribution

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## Specialty Coffee Service – Tuesday, March 26<sup>th</sup>

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## Lunch & Learn – Monday, March 25<sup>th</sup>

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