

Please join us for a *COMPLIMENTARY*, Invitation-Only
BREAKFAST AND EDUCATIONAL BRIEFING

10th Annual

SEC & DOJ HOT TOPICS 2017

**Current Developments Materially Affecting Corporations,
Financial Institutions, Individuals**

- Convergence and Cooperation Among Federal, State, Global Regulators, and Prosecutors
 - AML, FCPA and Cyber in the Spotlight
- DOJ Issues New Guidance on What is "Meaningful Cooperation" in Civil Enforcement?
- SEC Broadens Actions Against Hedge & Investment Funds, Private Equity Firms
- SEC Enforcement on Retaliation Against Whistleblowers Breaks New Ground
 - Insider Trading Actions Heat Up Again
 - Penalties Rising

Wednesday, November 16, 2016

9:00 a.m – 11:30 a.m.

**The Harvard Club
35 West 44th Street
NEW YORK CITY**

To Register: E-mail: kevincotelo@sandpiperpartners.com

Phone: 973.278.8800

SPEAKERS FROM THE GOVERNMENT:

Stephanie Avakian

Deputy Director, Division of Enforcement
U.S. Securities and Exchange Commission
Washington, D.C.

Katherine Goldstein

Chief, Securities and Commodities Task Force
U.S. Attorney's Office, S.D.N.Y.,
New York

Benjamin Singer

Chief, Securities and Financial Fraud Unit,
Fraud Section, Criminal Division,
U.S. Department of Justice, Washington, DC

OTHER PANELISTS:

Simon M. Lorne

Vice Chairman & Chief Legal Officer,
Millennium Management LLC, New York

David Sarratt

Partner, Debevoise & Plimpton LLP,
New York

Jennifer G. Newstead

Partner, Davis Polk & Wardwell LLP, New York

E. Scott Schirick

Partner, Pryor Cashman LLP,
New York

Anjan Sahni

Partner, Wilmer Cutler Pickering Hale and Dorr
Formerly, Chief of the Securities and Commodities
Fraud Task Force and Co-Chief of the Terrorism and
International Narcotics Unit,
U.S. Attorney's Office, S.D.N.Y., New York

Stephen J. Shine
Chief Regulatory Counsel,
Prudential Financial, Inc., Newark, NJ

Michael A Skrief
Principal, PwC, New York
(Moderator)

Program Organizer:

Sandpiper Partners LLC

Cooperating Program Developer:



A Timely Forum about Important Actions From SEC and DOJ... and Observers Expect the Momentum to Continue

These developments affect everything--compliance, approach, investigations, process, cooperation, and strategy. For a decade the Conference has examined these subjects. This year is turning out as one of the most active in that time.

The Tenth Annual Briefing offers current insights and analysis on what you need to know now to understand recent initiatives of the SEC, DOJ, and New York State DFS on a variety of matters affecting financial institutions, public companies across the spectrum of industry, investment funds and hedge funds. Our panel also will examine how these trends affect potential 2017 matters. We are pleased to again feature government regulators, prosecutors, corporate counsel, law firm partners and advisors.

Topics for Discussion

8:30 a.m. – 9:00 a.m. Breakfast & Registration; 9:00 a.m. – 11:30 a.m. Program

- I. SEC/DOJ Recent Developments**
 - A. Penalties, Fines and Disgorgement
 - B. Convergence of Regulatory and Enforcement Actions
 - C. Corporate and Individual Liability; Conflicts of Interest; Ethical Issues
- II. SEC/DOJ Enforcement and Litigation Priorities**
 - A. Insider Trading - Circuit Rulings and Supreme Court Hearing in *Salman v. U.S.*
 - B. Private Equity, Investment Advisors, and Hedge Funds
 - C. Individual / Corporate Enforcement Actions
 - D. Administrative Proceedings – Recent Rulings
 - E. Yates Memorandum One Year Later—Does it Apply to Civil as Well as Criminal Cases?
 - F. Whistleblower Rights of Employees and Recent Cases on Retaliation
 - G. Financial Fraud Investigations
 - H. DOJ and SEC Declinations, NPAs and DPAs
 - I. Global Enforcement, Cooperation, and Coordination
- III. Multi-agency (Treasury/FINCEN/OFAC/DOJ/SEC) Convergence on Financial Crimes; AML, FCPA, Antitrust, and Cybersecurity**
 - A. FCPA
 - 1. Recent Cases – Including Hedge Funds and PLS
 - 2. Multi-Country Investigations and Enforcement
 - 3. Use of Declinations by DOJ

4. DOJ FCPA Enforcement Pilot Program

B. AML

1. Recent Cases – Including Sovereign Wealth Funds, Banking and Virtual Currency
2. New York State DFS Anti-Terrorism Transaction Monitoring and Filtering Program Regulation
3. FinCEN Final Rule – Beneficial Ownership and Customer Due Diligence
4. Panama Papers – Global Implications

C. Cybersecurity

1. Recent Cases – Including Cyberheists / SWIFT Schemes
2. Pending Class Actions
3. Board Involvement, Disclosure Requirements, Investigations and Settlements
4. DFS CISO proposal

D. Antitrust

1. Recent Cases – Including Investment Banking, Real Estate and Auto Parts
2. Litigation and Merger Enforcement Trends
3. International Antitrust Enforcement
4. Cross-Division Alignment

**REGISTRATION FORM: Complimentary Breakfast Briefing
SEC & DOJ Hot Topics 2017**

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The Harvard Club, 35 West 44th Street, New York City

Name:

Title:

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CLE/CPE credit has been applied for.