



ABA Criminal Justice Section CLE Notice (Onsite/Teleconference)

The White Collar Crime Committee's Securities Fraud Subcommittee presents

DOJ, the SEC and Financial Fraud: Emerging Enforcement Trends

June 8, 2011, Noon – 1:30 PM

Business organizations, directors, CEOs and CFOs have been in the focus of financial fraud cases for years. Following the formation of two government task forces which include the SEC and DOJ financial fraud now appears to be a top level priority. Those efforts will be fortified by the Manhattan U.S. Attorney's Office, well known for its zealous insider trading prosecutions, which has made financial fraud a priority.

This program will bring together experts from the government and private practice to analyze the impact of these trends. The discussion will focus on key enforcement trends including the liability of directors and officers, the impact of the SEC's strict liability approach to SOX 304 and CEO and CFO liability for the repayment of incentive compensation and the emerging securities fraud action for holding officers responsible for failure to monitor.

Co-Chairs: Thomas Gorman, Dorsey & Whitney LLP and Frank C. Razzano, Pepper Hamilton LLP

Panel: Lorin Reisner, Deputy Director, SEC Division of Enforcement
Patrick Stokes, Fraud Section, U.S. Department of Justice
Steven Gannon, Executive vice president, Deputy General Counsel, Capital One

On-Site Location: The Metropolitan Club of Washington, 1700 H St. Washington DC 20006

For those attending live at the Metropolitan Club the Dress Code requires jacket and tie for men and comparable attire for women and cell phones can not be used in the club. The club is being made available through member Chip Magdid, Partner in Charge of Dorsey & Whitney's Washington office.

Price:

\$55 – ABA Criminal Justice Section members

\$95 – ABA members

\$115 – General/Non-members

CLE Information:

1.25 hours of CLE credit in 60-minute states/1.5 hours of CLE credit in 50-minute states have been requested in states accrediting ABA teleconferences and live audio webcasts. States currently not accrediting ABA Teleconferences: DE, IN, KS, OH, PA

Registration Form: DOJ, the SEC and Financial Fraud

Return to: ABA Criminal Justice Section, 740 15th Street NW, Washington, DC 20005
or fax to 202-662-1501. Contact Carol Rose at 202-662-1519, carol.rose@americanbar.org

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