

## The Fifth Annual National Institute on Securities Fraud

October 7-8, 2010

The Westin New Orleans Canal Place | New Orleans

### Program Description

The aftermath of the global financial crisis continues to cause uncertainty in the areas of securities regulation and enforcement. SEC and DOJ collaboration has increased, with both agencies pursuing aggressive legal theories. Congress has passed the most sweeping changes to the federal securities laws since they were enacted in the 1930s. And state attorney generals continue to assert a significant role in enforcing state securities laws.

This unprecedented confluence of events raises significant questions for industry participants and publicly traded companies that require a forward-looking and flexible approach to avoiding missteps.

The 2010 program will squarely address the issues and trends that are shaping the direction of securities regulation and enforcement for decades to come, including the status and potential impact of financial reform legislation, the enforcement trends suggested by recent cases, and the priorities of top enforcers. The program will provide valuable strategic and tactical insights to navigate this ever-changing terrain, from the perspective of thought leaders of every persuasion, including judges, prosecutors, regulators, compliance officers, and defense counsel.

The Securities Fraud National Institute Planning Committee\*, in cooperation with the Criminal Justice Section White Collar Crime Committee and the Business Law Section, will provide an educational and professional forum to discuss the legal and ethical issues that arise in securities fraud matters.

\***Conference Co-Chairs:** **Thomas A. Hanusik**, Partner,  
*Crowell & Moring, LLP*, Washington, DC

**Philip H. Hilder**, Partner, *Hilder & Associates, PC*, Houston, TX

### Program Highlights

- Developments, Trends, and Expectations in Securities Fraud Investigations and Prosecutions
- Financial Reforms: Overview of Legislation, Enforcement, and Future Implications
- Bounty Hunters in Your Midst? Rewarding Whistleblowers as the Law of the Land
- SEC Enforcement Initiatives: A Study of the *Goldman* case
- Congressional Hearings: The Merits, Pitfalls, and Risks of Accepting "Invitations"
- Spin It: Can you Use the Media to Your Tactical Advantage
- Section 304 Actions: See No Evil, Hear No Evil, Do no Evil...Pay Some Cash
- Inside Insider Trading: A Look at *Galleon* and Other Recent Cases
- Show Me the Money: Indemnification of Attorneys' Fees and D&O Coverage Issues
- Trends in Enforcement and Defense of Ponzi Schemes
- FCPA: Stings, Bling, and other Far-Flung Things

### Featured Speakers



The Honorable Jed S. Rakoff  
U.S. District Court Judge  
*Southern District of New York*



Lanny A. Breuer  
Assistant Attorney General  
Criminal Division  
*U.S. Department of Justice*



Robert L. Khuzami  
Chief  
Division of Enforcement  
*U.S. Securities and Exchange Commission*

To register, or for additional information, call 800.285.2221 or visit our Web site at [www.abacle.org/programs/securitiesfraud](http://www.abacle.org/programs/securitiesfraud)

## Registration Information for the

### Fifth Annual National Institute on Securities Fraud

To register, or for additional  
information, call 800.285.2221 or  
visit the ABA-CLE Web site at  
[www.abacle.org/programs/securitiesfraud](http://www.abacle.org/programs/securitiesfraud)

#### Early Bird Tuition (Effective until 9/7/10)

\$950	General Public
\$825	ABA Member
\$775	Criminal Justice Section
\$775	Business Law Section

Tuition rates increase  
15% after 9/7/10.

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### Save the Date Upcoming Events

25th Annual National Institute  
on  
**White Collar Crime**  
March 2-4, 2011  
San Diego Marriott Hotel and  
Marina | San Diego, CA  
[www.abacle.org/programs/whitecollar](http://www.abacle.org/programs/whitecollar)

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#### CONTINUING LEGAL EDUCATION

Under the guidance of the Standing  
Committee on Continuing Legal  
Education, the Center for Continuing  
Legal Education administers and  
produces National Institutes,  
teleconferences, other technology-  
based offerings and written course  
materials to assist lawyers with their  
continuing legal education efforts.

**David W. Hilgers**, Chair  
*Brown McCarroll, L.L.P.*  
Austin, TX

#### ABA Center for Continuing Legal Education

**Jill Eckert McCall**, Director

**Earnestine Murphy**,  
Associate Director  
Educational Programming

## Program Information

### Group and Other Discounts

Register three or more people at the same time to receive an additional \$50 reduction on each program tuition. Larger group discounts and special rates for full-time law students, academics, and government employees are also available. For more information, contact Nolan Bailey at 312.988.6209.

### MCLE

Mandatory continuing legal education (MCLE) accreditation has been requested from states that require continuing legal education. 9.0 hours of CLE credit including 2.0 hours of Ethics credit have been requested from those states recognizing a 60-minute credit hour and 10.8 hours of CLE credit, including 2.4 hours of Ethics credit, have been requested from those states recognizing a 50-minute credit hour. For NY-licensed attorneys: This transitional CLE program has been approved for all NY-licensed attorneys in accordance with the requirements of the New York State CLE Board of New York MCLE (9.0 total NY transitional MCLE credits including 2.4 hours of Ethics credit).

### Course Materials

Course materials for this National Institute will be available in two formats: **flash drive or printed book (books are \$50 additional)**. Make sure to select one (1) when registering; if a selection is not indicated, registrant will automatically receive a flash drive of the course materials.

### Scholarships

Scholarships to defray tuition expense for National Institutes are available upon application. Preference will be given to public interest lawyers, government lawyers, law professors, and solo or small firm practitioners. For scholarship applications go to [www.abanet.org/cle/scholarship](http://www.abanet.org/cle/scholarship).

### Services for Persons with Disabilities

If special arrangements are required, please contact Earnestine Murphy at 312.988.6204. Reasonable advance notice is requested.

### In-Person Registration

If you plan to register in-person, please call the ABA at least 24 hours in advance to confirm that the program is being held as scheduled and that space is available. Cash payments will **not** be accepted.

### Cancellations

Cancellations received 5 business days or more before the program will receive a 100% refund, less a \$50 cancellation fee. No refunds will be provided for cancellations after that date; however, substitute registrants are welcome at any time. To cancel your registration or substitute another individual, please call the ABA Service Center at 800.285.2221 or fax your request to 312.988.5850. Registrants who do not cancel within the allotted time period and who do not attend the program will receive a copy of the program course materials after the program.

### Program Confirmation

Written confirmation of your registration will be sent to you upon receipt. Please bring it with you to the National Institute as proof of registration. If you do not receive the confirmation notice prior to the presentation, please call the ABA at least 24 hours in advance to confirm that your registration was received and the program is being held as scheduled.

### Hotel Information

**The Westin New Orleans Canal Place**  
100 Rue Iberville Street  
New Orleans, LA 70130  
P: 504.566.7006 | 800.681.9073  
F: 504.553.5120  
Single/Double: \$169

All room rates are subject to city occupancy and sales tax. One night's deposit is required for reservation. Unclaimed rooms will be released 21 days before the program, after which the hotel will accept reservations on a space-available basis only. **Mention this ABA meeting to receive the special discount.**

### Airline Information

Discounted airfares are available from ABA Orbitz for Business including ABA negotiated discounts on American and United. To book online, go to [www.abanet.org/travel](http://www.abanet.org/travel), click under the Orbitz for Business logo at the top of the page; then click on the appropriate link in the Self Paid Travel box. For assistance with online or offline reservations, call toll free 1.877.222.4185.

Discounts can also be obtained directly from the carrier. American: Call 800.433.1790 code A1210SS; United: Call 800.521.4041 code 578IG.