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DOJ Acting Assistant Attorney General Mythili Raman

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October 24-25, 2013
The Westin New Orleans Canal Place
New Orleans, LA





Eighth Annual National Institute on Securities Fraud

October 24-25, 2013

The Westin New Orleans Canal Place | New Orleans, LA

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Each year this National Institute draws elite officials from both the U.S. Department of Justice and the U.S. Securities and Exchange Commission for an exclusive educational and professional forum to examine current legal and ethical issues relating to securities fraud.

Program highlights include:

- Anatomy of an Insider Trading Case: Prosecution Theories and Effective Defenses
- FCPA Long Arm Jurisdiction: How Far Can the SEC and DOJ Go to Reach Your Clients?
- Going to Trial Against the Government

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Agenda

Day 1: October 24, 2013

8:45 a.m. – 9:00 a.m. | Opening Remarks

Hon. Gregg J. Costa, U.S. District Court, *Southern District of Texas*

9:00 a.m. – 10:15 a.m. | Plenary Session

The Year in Review

Moderator: Thomas A. Hanusik; **Panel:** J. Bradley Bennett, Leslie R. Caldwell, Scott Friestad, David Meister, Mythili Raman

What do changes at the helm at the SEC and DOJ portend for enforcement of the federal securities laws in 2014? What has the new leadership prioritized since taking over? What types of cases have been resolved, and what does the pipeline reveal about the trends of enforcement activity? And how about all of the activity at the CFTC in the derivatives market? This panel of top brass from the CFTC, DOJ, SEC, and private practice will explore each of these issues, make bold predictions, and provide lucid insights into the trends and expectations for enforcement in the coming year.

10:15 a.m. – 10:30 a.m. | Break

10:30 a.m. – 11:30 a.m. | Breakout Session I

A. Anatomy of an Insider Trading Case: Prosecution Theories and Effective Defenses

Moderator: Tim Coleman; **Panel:** Robert S. Khuzami, Anita Raghavan, Mark E. Robinson, Daniel L. Zelenko

There has been a dramatic increase in high profile insider trading cases. The front pages have been filled with perp walks of hedge fund managers, and board members, and a variety of less visible individuals from law and accounting firms and drug and electronics companies. The common denominator is that all of them are being charged with tipping others or trading themselves on the basis of material nonpublic information. This panel will explore how the SEC and DOJ investigate insider trading cases, who is at risk in light of the latest prosecution theories, and what individuals can do to effectively defend against such charges.

B. FCPA Long Arm Jurisdiction: How Far Can SEC and DOJ Reach?

Moderator: Pamela J. Parizek; **Panel:** Mark Beardsworth, Denis J. McNerney, Bridget Rohde, Philip Urofsky

Following the seminal extraterritorial decision in *Morrison*, district courts have had to determine the reach of the SEC's jurisdiction in FCPA cases. The pendulum tilted in the SEC's direction, upholding extraterritorial jurisdiction in *SEC v. Straub*, even though no defendant was alleged to have engaged in any activity in the United States. However, it then tilted back in favor of overseas defendants a week later in a decision denying the SEC jurisdiction over a Siemens executive. This panel will explore the arguments, factual distinctions, basis for the decisions, and likelihood of success in making similar motions when defending a foreign executive subject to an SEC enforcement action.

11:30 a.m. – 11:45 a.m. | Break

11:45 a.m. – 12:45 p.m. | Breakout Session II

A. CFTC: The Not So New Kid on the Block That is Making Waves Anew

Moderator: Sheldon T. Zenner; **Panel:** David Meister, Gregory Mocek, Gregory L. Poe, Michael Lloyd Spafford

This panel will provide various perspectives – from both the enforcement and defense sides – and explore emerging theories supporting the recent spate of enforcement actions by the CFTC. What is the CFTC doing? What are the minefields that clients need to avoid? How does the CFTC coordinate with the SEC, DOJ, and state prosecutors and regulators? Learn the answers to these questions and more from a distinguished panel of experts in the field.

B. Derivative Claims and Class Actions: A Third Litigation Front in SEC and DOJ Cases

Moderator: Charles H. Lichtman; **Panel:** Christine S. Azar, Samuel W. Cooper, Michael Farhang, Neil Keenan

Your client self-reports, it cooperates, you voluntarily produce documents, encourage employees to cooperate, and successfully negotiate a deferred or non-prosecution agreement to resolve all issues. You are a hero to your client...and then the plaintiffs' bar files a series of derivative claims challenging everything you and your client did. Now you have another series of battles to fight. Explore the requirements for derivative demands, the standards for demand futility, and the most effective claims and defenses in derivative cases from a panel of experts representing each side of the equation.

12:45 p.m. – 2:00 p.m. | Lunch Break

Agenda (Continued)

Day 1: October 24, 2013 (Continued)

2:00 p.m. – 3:00 p.m. | Breakout Session III

A. Well, Well, Wells: Admission, Submission, and Capitulation—Strategies for Making Effective Use of the Wells Process without Sacrificing the Ability to Litigate

Moderator: Dixie L. Johnson; **Panel:** Scott W. Friestad, Douglas M. Fuchs, Joshua E. Levine, Russell G. Ryan

A “Wells Submission” proffers to the SEC that there is no factual, legal, or policy justification for initiating enforcement proceedings. Depending on circumstances, a Wells Submission can be a great opportunity to educate and persuade the Staff why enforcement is not justified or it can be detrimental by disclosing defenses, locking in positions, or making statements that will be used against the client. The determination and analysis of whether to file a Wells Submission is critical. The panel will discuss under what conditions there should be a Wells Submission, how to properly prepare one, and strategies for minimizing risks. The panel will also discuss settlement strategies that often coincide with the Wells process and can be fostered or hindered by a Wells Submission.

B. Getting to Non-Prosecution: Effective Strategies for Making the Best Case for Individual and Corporate Clients

Moderator: William B. Mateja; **Panel:** James B. Letten, James W. Cooper, Paul J. Fishman, David H. Resnicoff

Corporate Deferred Prosecution Agreements and Non-Prosecution Agreements are intended to have a transformative effect on corporate culture and produce a radical change in corporate compliance efforts. Though the DOJ and SEC have increasingly used these instruments to resolve high profile complex investigations, one size does not fit all. Learn how to negotiate one of these complex agreements with suggestions and strategies on how to best tailor punitive and remedial measures to satisfy DOJ’s and SEC’s principles of prosecution while not bankrupting your client and mitigating the risks of ancillary litigation and other collateral effects.

3:00 p.m. – 3:15 p.m. | Break

3:15 p.m. – 4:15 p.m. | Breakout Session IV

A. Effective and Efficient Internal Investigations: Getting to What Matters without Going into Bankruptcy

Moderator: Martin S. Wilczynski; **Panel:** Jonathan R. Barr, Douglas J. Davison, Peter J. Romatowski, Linda Chatman Thomsen

Conducting an internal investigation is difficult; Conducting one that will pass muster with the regulators in an efficient and cost effective manner is even tougher. Our panel of seasoned experts will explore the best ways to conduct thorough investigations while limiting costly frolics into low yield initiatives. Setting client expectations, managing and negotiating government demands, sticking to a schedule and getting quickly to the substance of the matter while navigating spiraling data costs, complex technical issues, demanding regulators, skeptical auditors, and the need to reliably complete a credible inquiry will all be covered.

B. Whistling Dixie: Is the SEC’s Whistleblower Office Inundated with Useless Tips or Is the Pipeline About to Yield Big Cases and Rewards?

Moderator: Thomas A. Sporkin; **Panel:** Gregory S. Bruch, Sean McKessy, Robert M. Thomas, Lawrence A. West

The Dodd Frank Act has provided potentially lucrative incentives for individuals to report financial fraud and malfeasance to regulators. The incentives appear to be producing tips, but it is too early to say whether those tips will result in enforcement actions. For example, during fiscal 2012, over 3,000 tips were processed by the SEC. During that same time, the first bounty was paid, but it was not much, and there have not been many as of this publication. This panel will discuss activities within the SEC’s Offices of the Whistleblower and Market Intelligence, pull back the curtain on strategies employed by the SEC to process and evaluate tips, explore the latest trends in tip activity, give guidance on managing anti-retaliation issues, and make predictions on what to expect in the way of bounties and payouts in fiscal 2013 and beyond.

4:15 p.m. – 4:30 p.m. | Break

4:30 p.m. – 5:30 p.m. | Breakout Session V

A. Triple Whammy: Collateral Consequences of Convictions and SEC Remedies

Moderator: John J. Carney; **Panel:** J. Gilmore Childers, Craig D. Margolis, Daniel A. Nathan, David L. Peavler

When an individual or an entity is enjoined or convicted, a wide variety of consequences are triggered. The SEC has historically pursued a variety of additional remedies such as injunctive relief, officer and director bars, and civil penalties. State accountancy board and bar associations often pile on the individuals, and derivative actions are becoming the norm rather than the exception for companies. Choosing and applying an appropriate strategy to reasonably tailor and limit settlements has become more important than ever due to recent rulings on stale claims and statute of limitations matters. The panel will discuss relevant strategies to manage and mitigate risk with regulators once an injunction or conviction is a likely outcome.

B. Going to Trial

Moderator: William W. Taylor, III; **Panel:** Pamela Chepiga, Hon. Gregg J. Costa, Toby M. Galloway, Janet Levine,

Going to trial against the government presents some huge obstacles, from resources to witness access to information flow. In all categories, the government usually holds most, if not all, of the cards. Learn from practitioners on both sides how to address the challenges and obstacles of defending a client against the SEC or DOJ when charges of securities fraud, be they civil or criminal, are filed. Level the playing field through motions *in limine*, foreign evidence requests, demands for exculpatory information, and immunity requests. Explore these and other options that are some of the many strategies to be employed when going to trial against the SEC or DOJ.

5:30 p.m. | Reception

Agenda (Continued)

Day 2: October 25, 2013

9:45 a.m. – 11:00 a.m. | Plenary Session #1

Understanding the Evolution of an SEC Defendant

Moderator: Philip H. Hilder; **Panel:** Paul E. Holdeman, Carrie Johnson, Kelly Richmond Pope, Judge Amy St. Eve, Gil M. Soffer

What is it that drives ordinary successful business people to commit financial crimes? The answer might not be so obvious. Against the backdrop of the documentary, "Crossing the Line: Ordinary People Committing Extraordinary Crimes," the panel will discuss the factors that turn MBAs into inmates, law enforcement approaches in dealing with and turning white collar suspects into cooperators, and a convicted fraudster's perspective of how to prepare for prison.

11:00 a.m. – 11:15 a.m. | Break

11:15 a.m. – 12:30 p.m. | Plenary Session #2

Discovery Obligations That Discover: Brady, Giglio, and Jencks Obligations of the SEC, DOJ, and other Agencies in Parallel Criminal Cases

Moderator: Gary S. Lincenberg; **Panel:** Lawrence Byrne, Michael L. Koenig, Paul E. Pelletier, Jane S. Raskin

Supreme Court cases, ethical rules, and federal statutes provide ample guidance for criminal prosecutors in criminal cases, but the water is murkier when it comes to providing exculpatory, impeachment, or other evidence advantageous to the defense from parallel civil enforcement investigations and actions. Explore the ethical obligations, limits, and policies of DOJ, SEC, and others, as well as expectations of defense counsel and rulings from various federal courts that address this evolving risk area for civil and criminal prosecutors alike.



12:30 p.m. | Adjourn

Agenda subject to change without notice.

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For more information on scholarships, visit www.americanbar.org/groups/cle/scholarship.

Attire

Business casual attire is appropriate for all activities.

Cancellations

Cancellations received five business days or more before the program will receive a full 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 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 course materials after program completion.

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	Advance Rate Effective Aug. 31	Standard Rate Effective Sept. 30
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ABA Members	\$1,175	\$1,255
Criminal Justice Section Members	\$1,025	\$1,095
Business Law Section Members	\$1,025	\$1,095
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Government Employees	\$515	\$550

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To qualify for a group discount, **three or more people** must register together. Please call us to register your group or send all registrations in the same envelope. Not applicable to government rates.

Step 2: Securities Fraud Workshops

Please check one workshop for each period.

Thursday ▪ October 24, 2013 ▪ Breakout Session I ▪ 10:30 a.m. – 11:30 a.m.

- A. Anatomy of an Insider Trading Case: Prosecution Theories and Effective Defenses
 B. FCPA Long Arm Jurisdiction: How Far Can the SEC and DOJ Reach?

Thursday ▪ October 24, 2013 ▪ Breakout Session II ▪ 11:45 a.m. – 12:45 p.m.

- A. CFTC: The Not So New Kid on the Block That Is Making Waves Anew
 B. Derivative Claims and Class Actions: A Third Litigation Front in SEC and DOJ Cases

Thursday ▪ October 24, 2013 ▪ Breakout Session III ▪ 2:00 p.m. – 3:00 p.m.

- A. Well, Well, Wells: Admission, Submission and Capitulation – Strategies for Making Effective Use of the Wells Process without Sacrificing the Ability to Litigate
 B. Getting to Non-Prosecution: Effective Strategies for Making the Best Case for Individual and Corporate Clients

Thursday ▪ October 24, 2013 ▪ Breakout Session IV ▪ 3:15 p.m. – 4:15 p.m.

- A. Effective and Efficient Internal Investigations: Getting to What Matters without Going into Bankruptcy
 B. Whistling Dixie: Is the SEC's Whistleblower Office Inundated with Useless Tips or Is the Pipeline About to Yield Big Cases and Rewards?

Thursday ▪ October 24, 2013 ▪ Breakout Session V ▪ 4:30 p.m. – 5:30 p.m.

- A. Triple Whammy: Collateral Consequences of Convictions and SEC Remedies
 B. Going to Trial

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Electronic course materials are provided on-site as part of your registration. Printed course materials are available on-site for an additional fee.

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