

Regulatory Investigations – Reduce the Costs, Minimize the Risks

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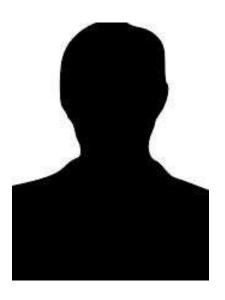
Today's Moderator



Josh Bradford
Senior Editor, Specialty Editorial
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Today's Panelists



Bill ClarkeClaims Manager,
Beazley



Jason Masimore
Lawyer,
Kobre and Kim



Carolyn Polikoff

SVP, Corporate & Executive
Protection Practice Leader,
Woodruff Sawyer & Company



Rachel TurkFocus Group Leader – D&O,
Beazley



Overview of SEC investigatory functions



Josh Bradford Advisen



Bill Clarke
Beazley



Jason Masimore

Kobre and Kim



Carolyn Polikoff
Woodruff Sawyer & Company



Rachel Turk
Beazley



What are the SEC's current areas of focus and how has this changed over time?



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How would a Clinton presidency impact SEC enforcement?



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Let's talk about parallel investigations...



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What is the process of a typical SEC investigation?



Josh Bradford Advisen



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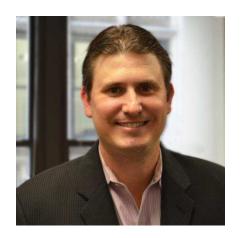
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Woodruff Sawyer & Company



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What are the obligations of the investigated company?



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How should a request for sworn witness testimony be handled?



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How do D&O policies cover the costs?



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