



# Regulatory Investigations – Reduce the Costs, Minimize the Risks

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# Today's Moderator



**Josh Bradford**

Senior Editor, Specialty Editorial  
Advisen

# ● Today's Panelists



**Bill Clarke**  
Claims Manager,  
Beazley



**Jason Masimore**  
Lawyer,  
Kobre and Kim



**Carolyn Polikoff**  
SVP, Corporate & Executive  
Protection Practice Leader,  
Woodruff Sawyer & Company



**Rachel Turk**  
Focus Group Leader – D&O,  
Beazley

# Overview of SEC investigatory functions



**Josh Bradford**  
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**Bill Clarke**  
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**Jason Masimore**  
Kobre and Kim



**Carolyn Polikoff**  
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# 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?



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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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# • Thank you to today's panelists!



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