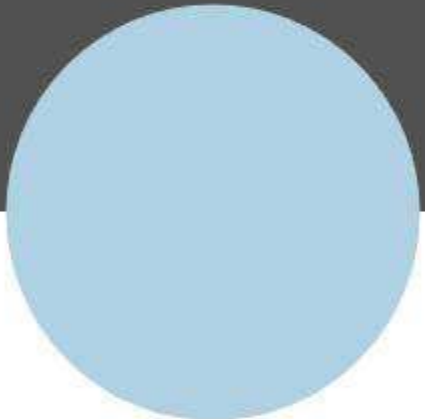




Quarterly D&O Claims Trends: 2017 Wrap-Up

January 24th, 2018, 11 AM Eastern

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the **right** information into
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the **right** time
to *power* performance.

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● Quarterly D&O Claims Trends: 2017 Wrap-Up

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THE D&O DIARY

<http://www.dandodiary.com>

Today's Moderator



Jim Blinn

EVP, Client Solutions

Advisen

Today's Panelists



Kevin La Croix

RTPro Exec, a division of RT Specialty,
Author of the D&O Diary



John McCarrick

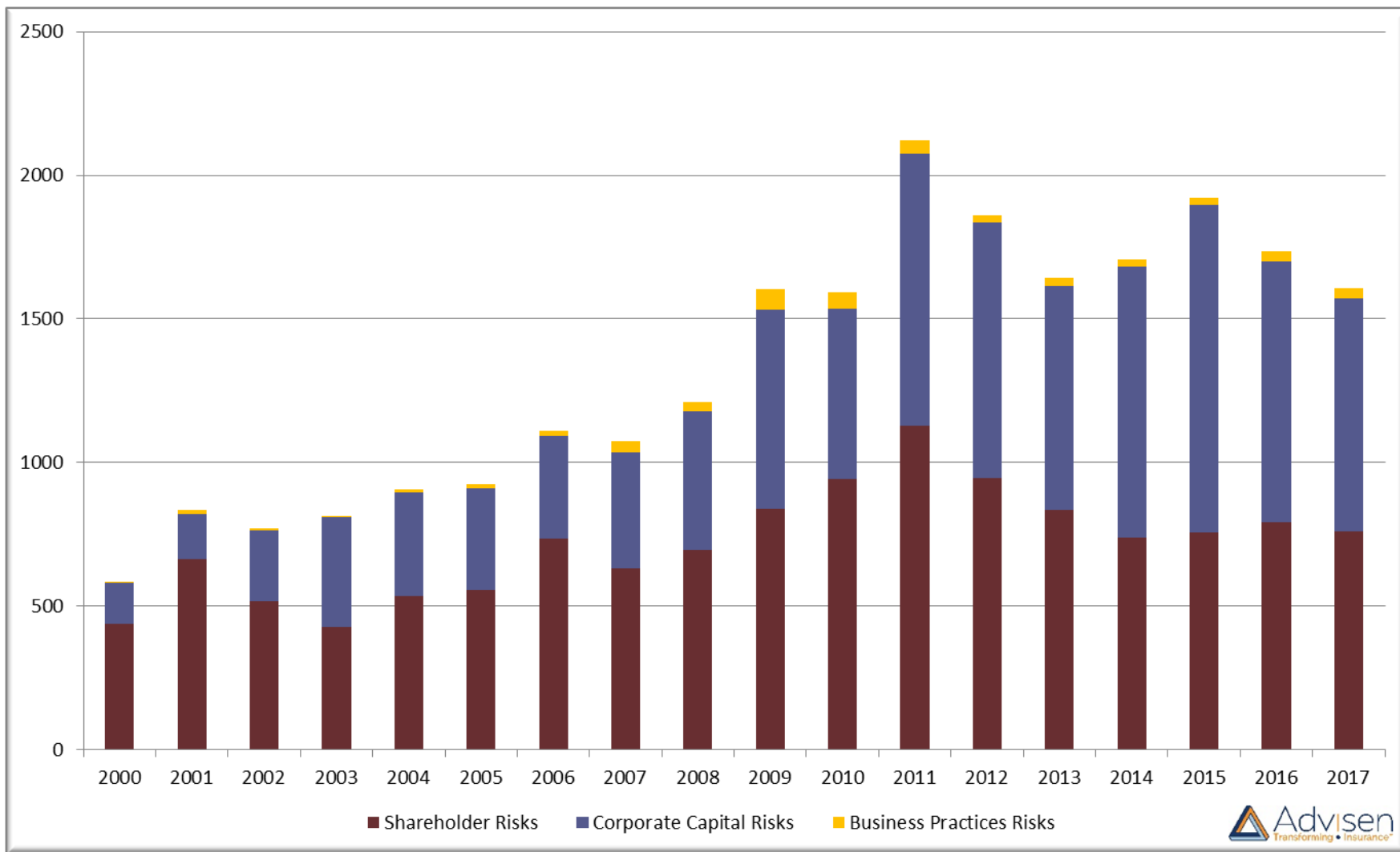
Partner
White & Williams LLP



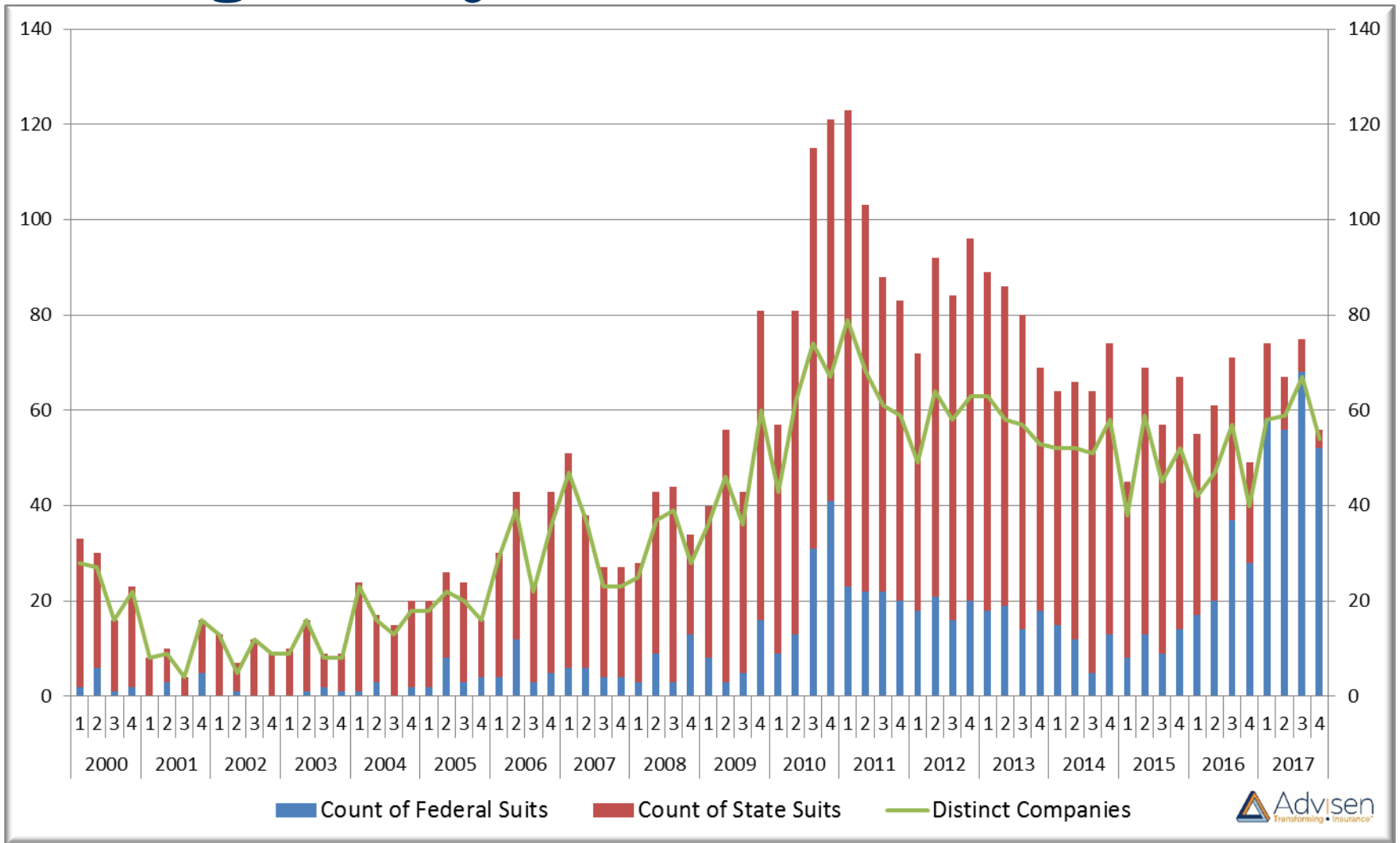
Machua Milette

Managing Director and Chief
Innovation Officer
Marsh

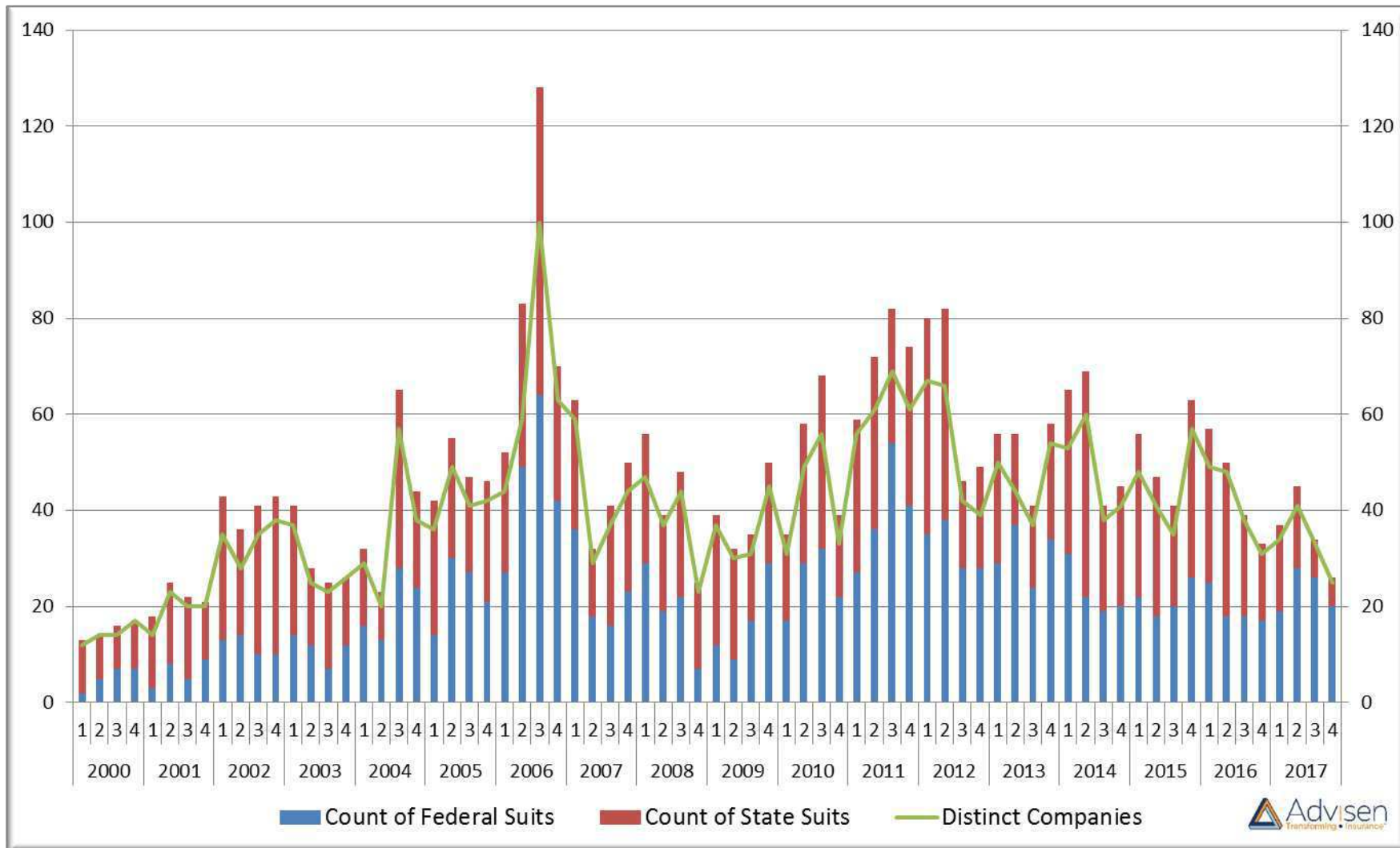
Counts of All Cases



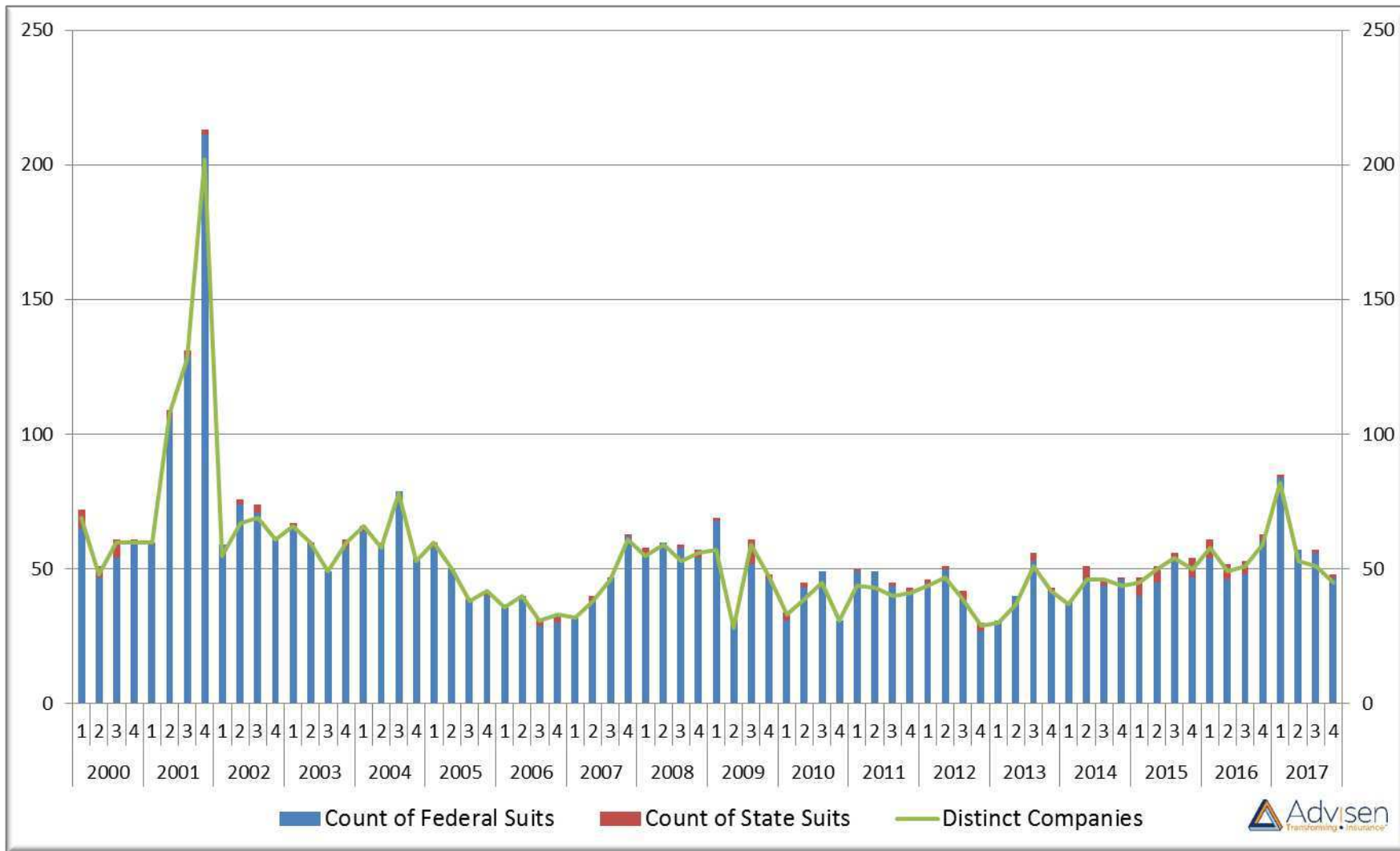
Merger Objection



Derivative Shareholder Action



Securities Class Action



• Total Counts – Unique Companies

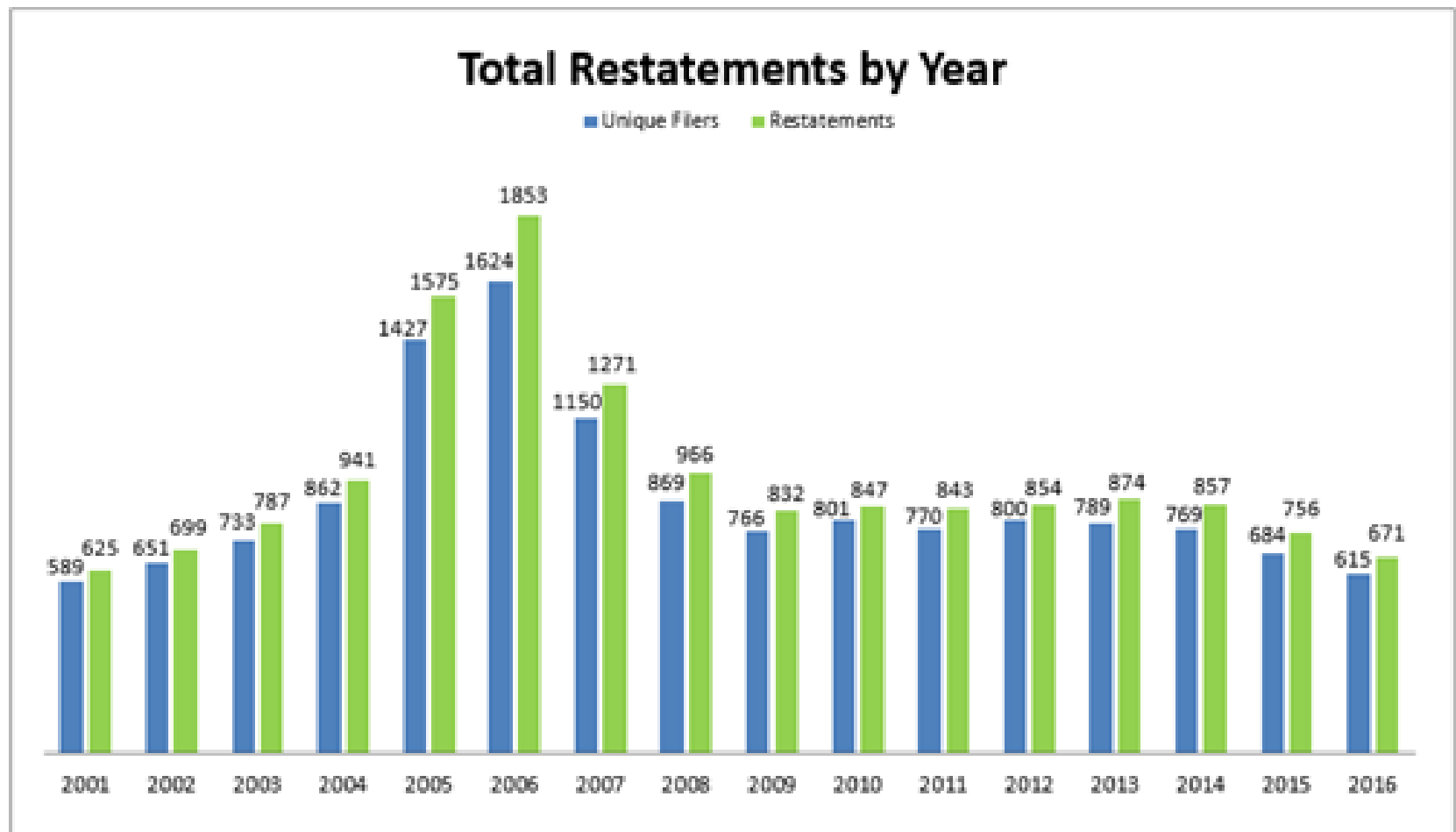
Filing Date		Federal		State		Total
Year	Quarter	SCAS	Merger Objection	SCAS	Merger Objection	Total Unique Companies
2016	1	53	16	6	32	98
	2	45	16	6	36	95
	3	46	35	4	32	107
	4	57	26	2	18	98
2017	1	79	49	1	16	138
	2	53	52	1	11	112
	3	52	62	1	7	118
	4	46	49	1	4	99

388

450

- 2017 companies sued in Federal court is 50% higher than 2016
- Total companies sued are 16% higher

Financial Restatements



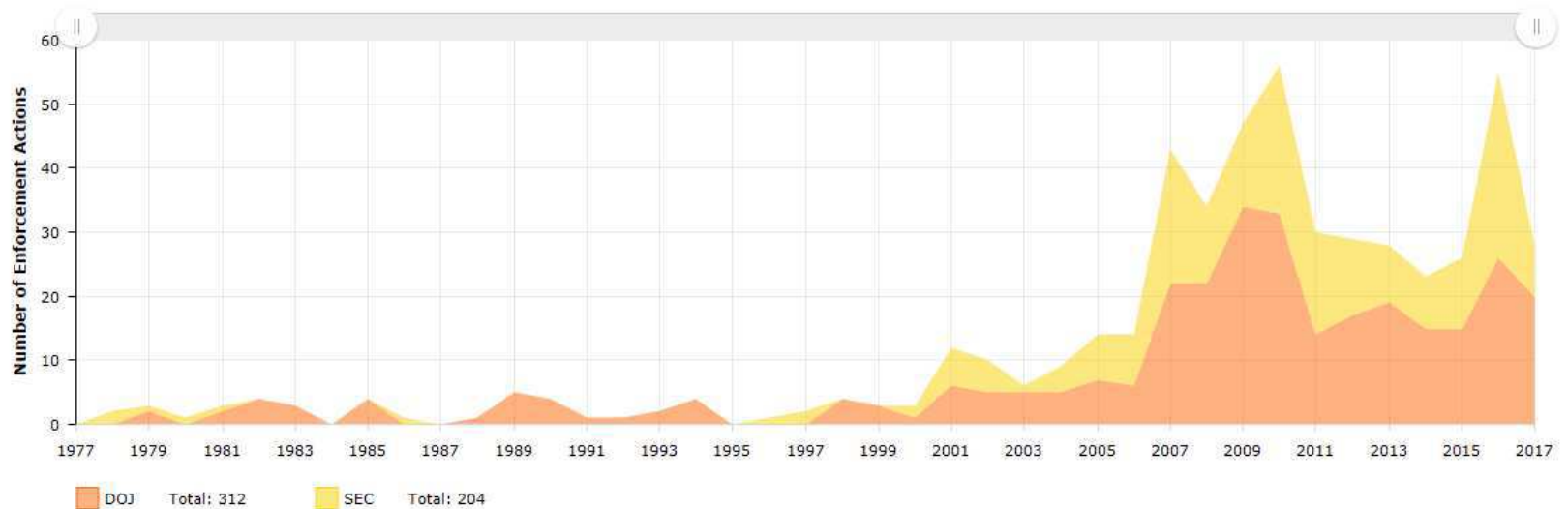
Source: Audit Analytics 2016 Financial Restatements Review

● Dow Jones Industrial Average

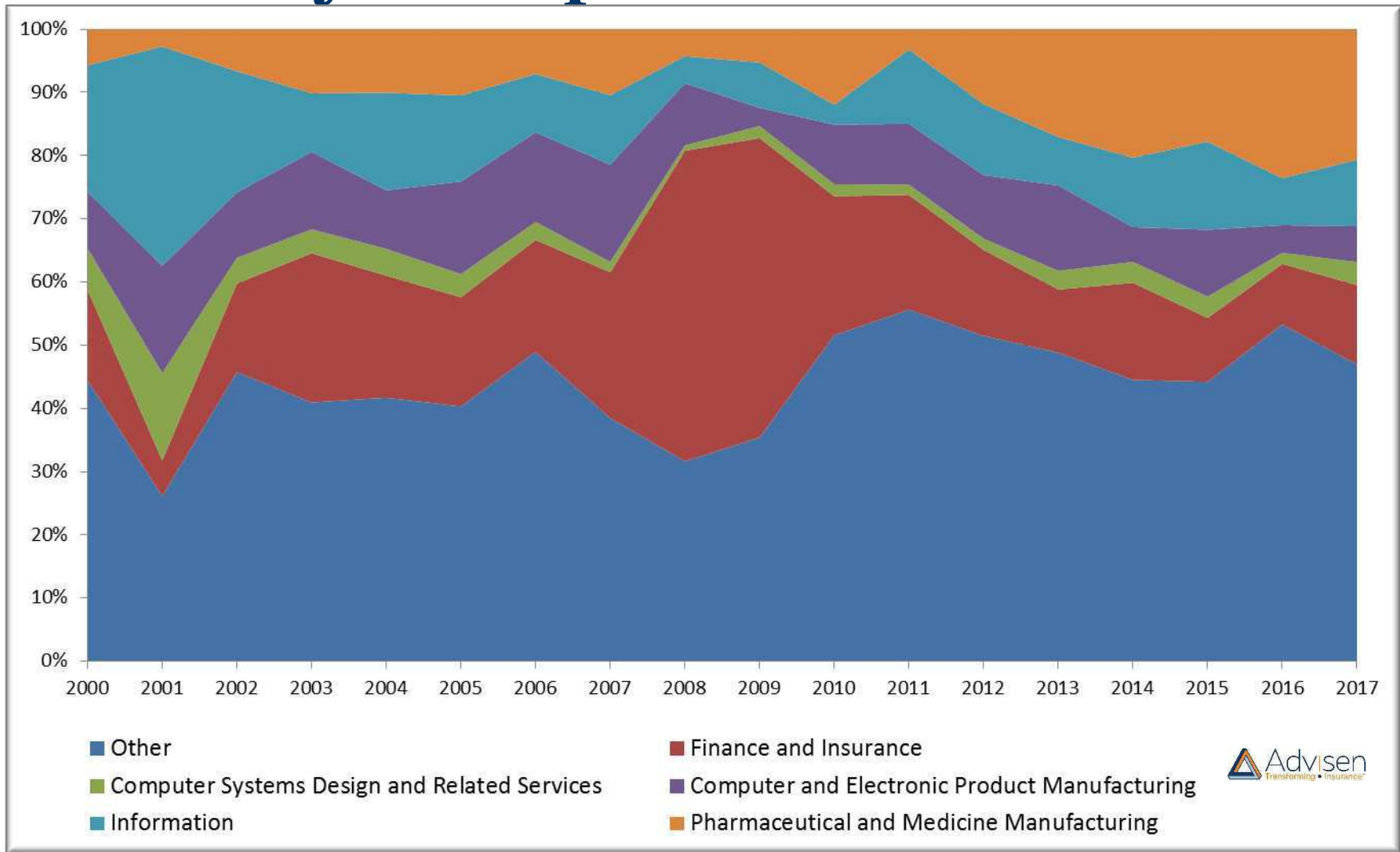


FCPA Enforcement Actions

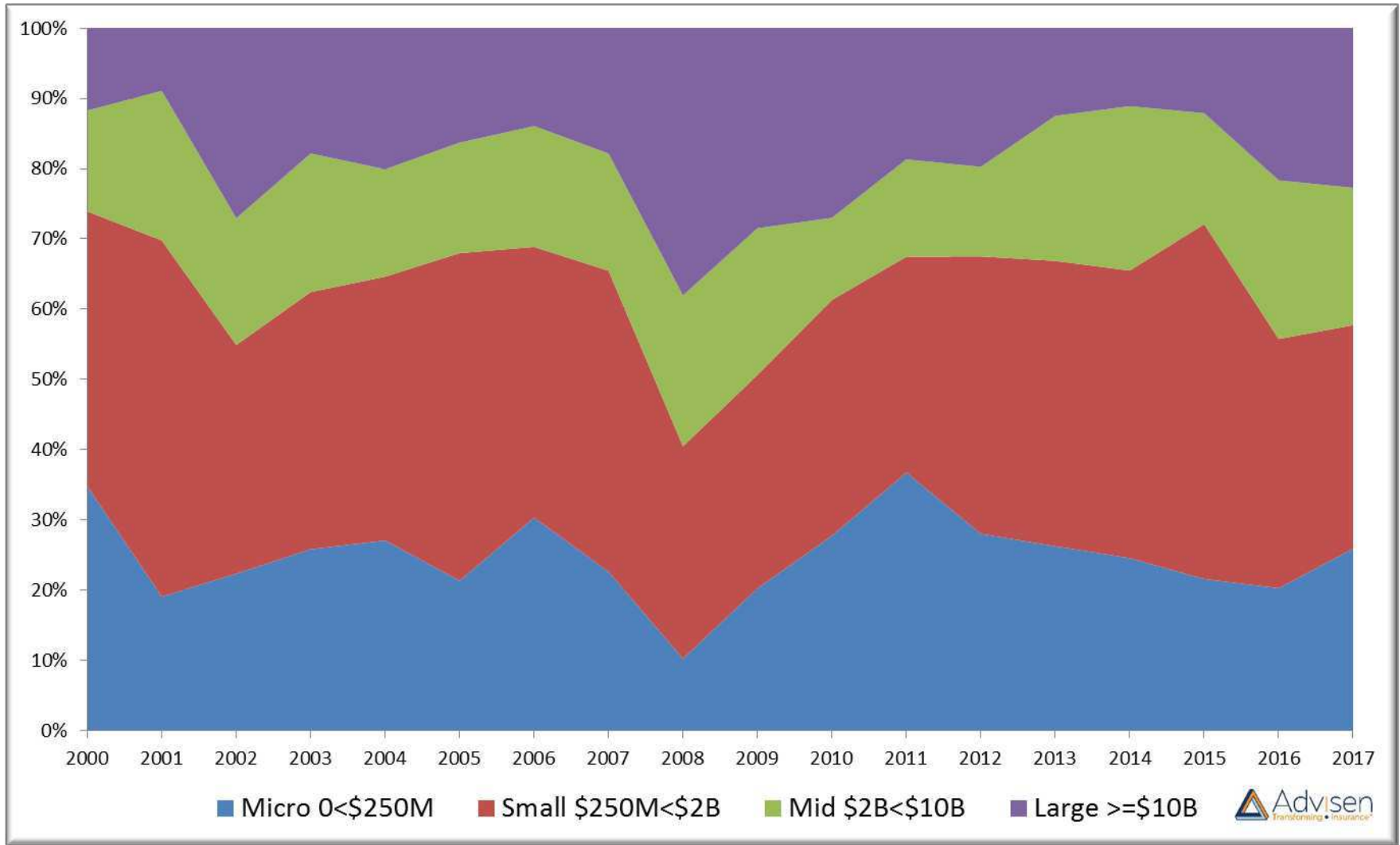
DOJ and SEC Enforcement Actions



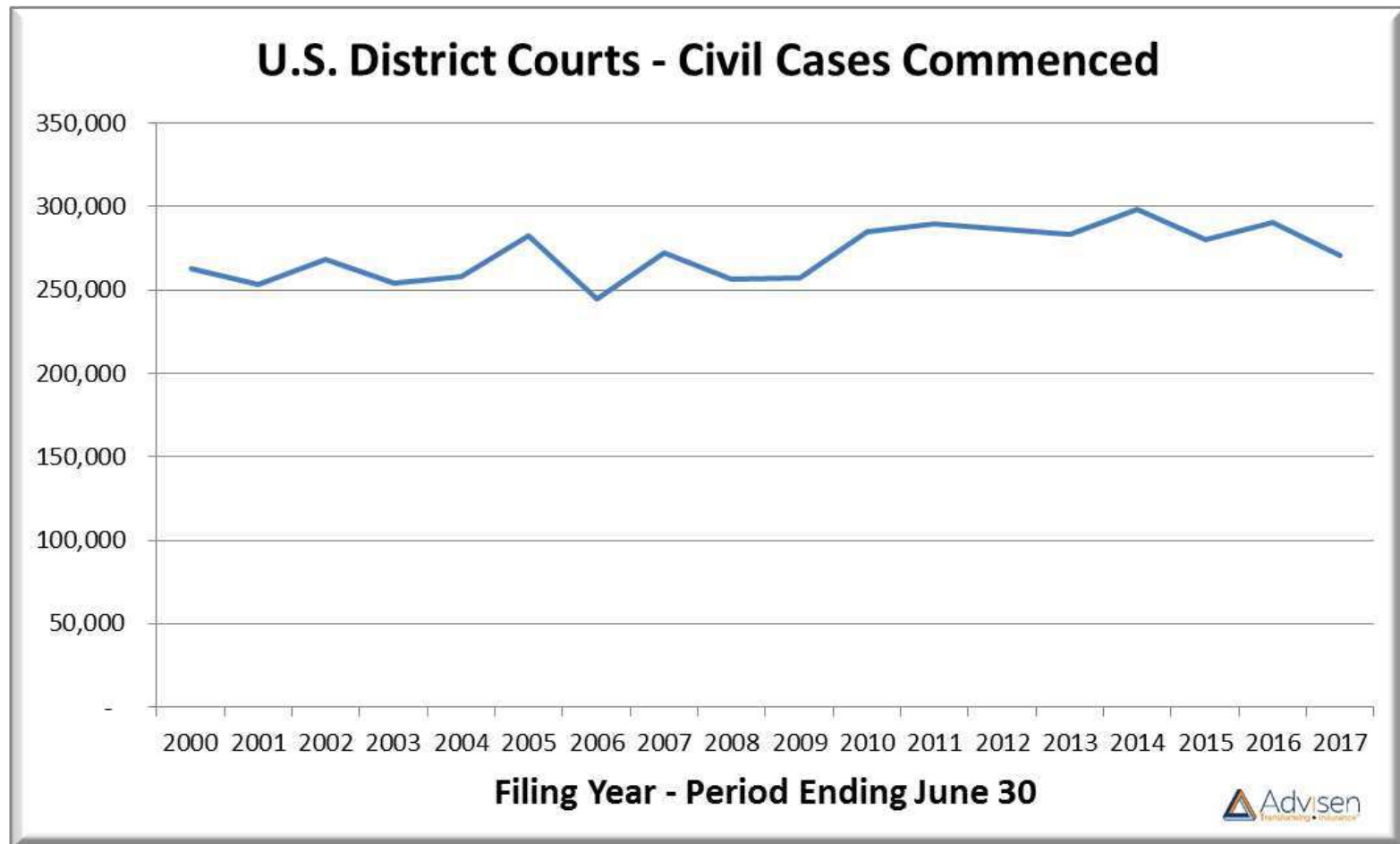
Industry Groups – SCAS Cases



Market Cap Groups – SCAS Cases



Federal Court Case Filings



Source: Caseload Statistics Data Tables

Thank you, panelists!



Kevin LaCroix

RTPro Exec, a division of RTSpecialty,
Author of the D&O Diary



John McCarrick

Partner
White & Williams LLP



Machua Milette

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Innovation Officer
Marsh

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Mark your calendar!

Quarterly D&O Claims Trends:
Q1 2018

Tuesday, May 1st, 2018
at 11 AM Eastern

Quarterly D&O Claims Trends:
Q2 2018

Wednesday, July 25th, 2018
at 11 AM Eastern

Advisen's Public Co. D&O Loss Data

Advisen's Public D&O dataset includes events that have stemmed from numerous risks, among them:

SHAREHOLDER RISKS

- Securities Class Action
- Merger Objection
- Derivative Shareholder Action
- Securities Individual Action

CORPORATE CAPITAL RISKS

- Capital Regulatory Action
- Books & Records
- Wells Notices

BUSINESS PRACTICES RISKS

- Foreign Corrupt Practices Act

Our database includes more than 20,000 Public D&O cases, 700 of which were brought outside of the United States.



Public D&O Losses



Cases Outside the US

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<https://www.advisenltd.com/data/public-d-o-loss-data/>



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