

Financial Regulation and Enforcement Symposium 2013

A Conversation with Regulators, Prosecutors, and Blue Sky Authorities

New York Athletic Club

05.08.2013

Please join us Wednesday, May 8, 2013 for a complimentary program designed to foster a dialogue between enforcement and regulatory agencies and the financial institutions that they oversee.

When

Wednesday
May 8, 2013

Registration

1:30 p.m. - 2:00 p.m.

Program

2:00 p.m. - 5:30 p.m.

CLE Credit Provided

Cocktails

5:30 p.m. - 7:00 p.m.

Where

New York Athletic Club*

180 Central Park South

New York, NY 10019

Phone: 212.247.5100

*Jacket Required

The program, which will address issues of interest to the legal and compliance departments of banks, broker-dealers, hedge funds, and insurance companies, will consist of three presentations:

Panel I: "Criminal and Civil Securities Enforcement: New Faces in New Places"

- **Moderator: Jeff Kern**, *Sheppard Mullin*
- **Richard Best**, Chief Counsel, Department of Enforcement, *Financial Industry Regulatory Authority*
- **MaryJean Bonadonna**, Chief Compliance Officer, *AXA Advisors, LLC*

- **Sarah Coyne**, Chief, Business and Securities Fraud Section, *United States Attorney's Office for the Eastern District of New York*
- **Russel D. Francisco**, Director, Assistant General Counsel, *Bank of America/Merrill Lynch*
- **David Massey**, Securities and Commodities Task Force, *United States Attorney's Office for the Southern District of New York*
- **Marc B. Minor**, Chief, Investor Protection Bureau, *New York State Attorney General's Office*

Keynote Address: Matt Taibbi, Contributing Editor and Finance & Crime Reporter, *Rolling Stone Magazine*

Panel II: "The Shared Challenge of Cybersecurity"

- **Moderator: Kevin Puvalowski**, *Sheppard Mullin*
- **Thomas G. A. Brown**, Deputy Chief for Cyber of the Complex Frauds Unit, *United States Attorney's Office for the Southern District of New York*
- **Thomas Doheny**, Senior Supervising Examiner, *Federal Reserve Bank of New York*
- **Peter Lefkowitz**, Vice President, Chief Privacy Officer, *Oracle*
- **Stuart McClure**, Founder & CEO, *Cylance, Inc.*
- **Cristina M. Posa**, Deputy Chief of National Security and Cybercrime, *United States Attorney's Office for the Eastern District of New York*
- **David M. Spring**, Managing Director, Compliance, *Bank of America/Merrill Lynch*

About the hosts:

The **New York External Fraud Committee**, the **Long Island Fraud and Forgery Association** and the **Mid-Hudson Financial Security Officers Association** are joint law enforcement/bank compliance groups that meet regularly to discuss issues of common interest, including compliance developments, suspicious activity reporting, fraud and money laundering trends, and law enforcement/private sector coordination.

MCLE

This program has been approved in accordance with the requirements of the New York State Continuing Legal Education Board for a maximum of 3.5 credit hours which may be applied toward the Areas of Professional Practice requirement, and is suitable for both transitional and non-transitional attorneys. Sheppard, Mullin, Richter & Hampton LLP is a State Bar of New York approved MCLE provider.

Attorneys

Jeff Kern