



Securities and Advisory Current Hot Topics

Thursday, April 7, 2011 12:00 p.m.-2:00 p.m.

The Palm Restaurant | 3391 Peachtree Road NE at The Westin Buckhead Hotel | Atlanta GA 30326

Please join us for a complimentary luncheon discussion of the current hot topics in securities compliance featuring a panel of experienced securities and compliance attorneys: Tod Sawicki, Hank Sanchez and Will Terpening.

The current regulatory environment has firms wondering how they are affected and what is next from the regulators. This program will cover the following topics:

- FINRA Enforcement Focus for 2011 - the "letter"
- IA Annual Review
- New FINRA "Know Your Customer" and Suitability Rules
- Compliance Officer Liability in view of the Urban case
- Proposed Registration of Operations Personnel
- New FINRA Reporting Requirements



Tod Sawicki is a partner in Alston & Bird's Securities Litigation Group and is one of the group's specialists in the representation of broker-dealers, investment advisory firms, hedge funds and other financial services providers in litigation, arbitration and regulatory matters. He has successfully represented a number of companies, financial services firms, investment managers, executives and professionals in a wide range of litigation matters arising out of securities offerings, securities transactions, and claims of executive and professional liability in class actions, derivative actions and individual actions. In the wake of the most recent wave of bank failures, Tod currently is leading the representation of several bank and bank holding company directors and officers in connection with investigations and claims by the FDIC, Office of the Comptroller of the Currency and state banking regulators, and in defense of shareholder lawsuits filed in federal and state courts.



Henry "Hank" Sanchez is Associate Director of Oyster Consulting, LLC. Mr. Sanchez has been in the securities industry for over 25 years. His experience covers all aspects of the securities industry. Immediately prior to joining Oyster Consulting, Mr. Sanchez was with LPL Financial Corporation, where he held Compliance leadership roles as Vice President of Surveillance, as well as Sr. Vice President and CCO of the nation's largest independent brokerage firm. His role at LPL included managing a group of compliance professionals in the following areas: Surveillance, OSJ Supervision, Compliance technology support, Regulatory responses, Home Office Supervision, and Financial Services compliance.



Will Terpening has a decade of experience litigating securities matters in numerous contexts, including white collar criminal defense, regulatory actions and private disputes. He has a recognized practice as a trial and appellate attorney defending those accused of business crimes and other criminal matters in federal court. He regularly handles investigations by corporations (including formal and informal internal investigations into potential securities and other violations, with experience representing both companies and individuals) and various government entities (most often including the DOJ, FBI, SEC, FINRA and state regulators). He is a founding partner of Anderson Terpening PLLC in Charlotte, and an adjunct professor at Charlotte School of Law. He has been recognized as a North Carolina "Rising Star" by Super Lawyers Magazine, and graduated from Brown (Phi Beta Kappa, magna cum laude) and Duke (J.D., M.A.). He is on the Board of Advisors of the National Association of Criminal Defense Lawyers magazine, and on the governing counsel of the North Carolina Bar Association's Criminal Justice Section. He is licensed in Georgia and North Carolina.

Please click [HERE](#) to register for this complimentary program. Space is limited.

For more information contact Abby Smith at abby.smith@alston.com or 404.881.7824.

This program is offered as a free service to clients and friends of Alston & Bird, Oyster Consulting LLC and Anderson Terpening.

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