

*Since 2002, there have been over seventy
SEC enforcement actions against attorneys.*

ATTORNEYS AS GATEKEEPERS

Attorneys practicing before the Securities and Exchange Commission face conflicting responsibilities - are you an advocate for your client or a gatekeeper for the SEC? Attorneys are now subject to heightened scrutiny by the SEC, so what is the SEC's current mandate for attorneys?

Please join us for an evening program with:

HON. LEWIS A. KAPLAN
United States District Judge
(Southern District, New York)

HELENE GLOTZER, Esq.
Associate Regional Director,
Northeast Regional Office,
U.S. Securities and Exchange Commission

CARMEN LAWRENCE, Esq.
Co-head of the Securities Regulation and
Enforcement Practice,
Fried, Frank, Harris, Shriver & Jacobson LLP

PROF. MICHAEL H. STONE
Adjunct Professor of Law,
Benjamin N. Cardozo School of Law
and former General Counsel,
Morgan Stanley Dean Witter

PROF. ERIC J. PAN
Assistant Professor of Law and Director,
The Samuel and Ronnie Heyman
Center on Corporate Governance,
Benjamin N. Cardozo School of Law

Co-sponsored by:



The Samuel and Ronnie Heyman
Center on Corporate Governance
Benjamin N. Cardozo School of Law
Yeshiva University



Securities Industry Association
Compliance & Legal Division

Date:

Wednesday, November 30, 2005
6:30 p.m. – 8:30 p.m.
Cocktail reception to follow

Location:

Benjamin N. Cardozo School of Law
55 Fifth Avenue at 12th Street
New York, New York

To attend:

Please e-mail your registration information (name, organization, mailing address, e-mail address and telephone number) to heymancenter@yu.edu, call the Registration Line at (212) 790-0257, or register online at www.heyman-center.org. There is no registration fee for this program.



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