

## REGISTRATION FORM

### Registration Categories

- |   |          |
|---|----------|
| <input type="checkbox"/> BBA Member   | \$130.00 |
| <input type="checkbox"/> Non-Member   | \$170.00 |
| <input type="checkbox"/> BBA Member - Legal Services/<br>BBA Member - Government Lawyer | \$70.00  |
| <input type="checkbox"/> Law Student  | \$30.00  |

Please select your course materials in print OR electronic format.

- Print version  
 Electronic (link to a PDF of materials will be e-mailed prior to seminar)

**I cannot attend.** Please send me the CLE Program Package, which includes written materials and an audio CD. (Prices include 6.25% sales tax).

BBA Member  \$165.00  
Non-Member  \$195.00

### Payment Options

- Check made payable to the Boston Bar Association  
 MasterCard  Visa  AmEx  Discover  
 Invoice (Members only)

Credit Card #:

Exp. Date:

### Registration Information

Name:

Firm/Company:

Street:

City: State: Zip:

Phone:

Email:

### Register By

**Mail:** Boston Bar Association  
CLE 11520  
P.O. Box 845680  
Boston, MA 02284-5680

**Online:** [www.bostonbar.org/edu/cle](http://www.bostonbar.org/edu/cle)  
**Phone:** (617) 778-2020  
**Fax:** Credit card info. to  
(617) 523-0127 Attn CLE

## Securities Enforcement:

Recent Developments, Trial Strategies & Getting to a Non-Prosecution Agreement

### TIME & LOCATION

Thursday, April 4, 2013  
4:00 - 7:00 p.m.  
*Reception to Follow*

Boston Bar Association  
16 Beacon Street  
Boston, MA 02108

Questions and Directions:  
(617) 778-2020  
[cle@bostonbar.org](mailto:cle@bostonbar.org)

### IMPORTANT INFORMATION

#### Wi-Fi

*Complimentary wireless will be available at the program so that you may access your electronic materials via your mobile device, iPad, or laptop.*

#### CLE Credit

*Boston Bar Association Continuing Legal Education courses are approved for credit in California, Maine, New Hampshire, New York, Rhode Island & Vermont.*

#### Can't attend?

*If you have pre-registered for a program and cannot attend, the BBA will forward all seminar materials to you.*

#### Refunds and Cancellations

*Refunds will be allowed for cancellation notices received at least 24 hours before the program.*

#### Accommodations/Assistance

*We strive to make our programs accessible to all attendees, including those with disabilities. Please contact the BBA in advance of the program for arrangements.*

#### Tuition Assistance

*If the cost of this seminar would preclude you from attending, contact us about tuition discounts.*

BBA Continuing Legal Education  
[www.bostonbar.org/edu/cle](http://www.bostonbar.org/edu/cle)

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**Boston Bar**  
ASSOCIATION

## PANELS

### Panel I:

#### SEC/DOJ Trends & Developments

- I. Criminal Securities Fraud Enforcement by the U.S. Attorney's Office
- II. Priorities and New Initiatives at the SEC

#### **Jonathan L. Kotlier, Esq.**

Partner - Nutter McLennen & Fish LLP  
*Moderator*

#### **David P. Bergers, Esq.**

Regional Director & Acting Deputy Chief of Enforcement - SEC

#### **Paul G. Levenson, Esq.**

Chief, Economic Crimes Unit  
U.S. Attorney's Office

#### **Emily R. Schulman, Esq.**

Partner - Wilmer Hale Pickering and Dorr LLP

#### **Nicholas C. Theodorou, Esq.**

Partner - Foley Hoag LLP

### Panel II:

#### Trying Securities Cases: Can the Jury Really Get it?

#### **Rachel E. Hershfang, Esq.**

Securities & Exchange Commission  
*Moderator*

#### **Hon. Douglas P. Woodlock**

U.S. District Court, District of Massachusetts

#### **John J. Falvey, Esq.**

Partner - Goodwin Procter LLP

#### **Andrew E. Lelling, Esq.**

U.S. Attorney's Office

#### **Daniel P. Tighe, Esq.**

Partner - Griesinger Tighe & Maffei LLP

### Panel III:

#### Internal Investigations Done Right: Obtaining a Non-Prosecution Agreement & Other Ways to Protect Shareholder Value

- I. Insights on the SEC's only non-prosecution agreement (In re Carter's) from audit committee counsel
- II. How to structure and conduct an internal investigation to reduce corporate exposure risk and maximize positive outcomes
- III. What government investigators expect from companies conducting internal investigations

#### **Ian D. Roffman, Esq.**

Partner - Nutter, McLennen & Fish LLP  
*Moderator*

#### **Cynthia A. Young, Esq.**

Chief of Criminal Division U.S. Attorney's Office - District of Massachusetts

#### **Randall W. Bodner, Esq.**

Partner - Ropes & Gray LLP

#### **Stephen G. Huggard, Esq.**

Partner - Edwards Wildman Palmer LLP

#### **R. Daniel O'Connor, Esq.**

Partner - Ropes & Gray LLP

## ABOUT THE COURSE

This program will include three panels featuring attorneys from the SEC, the U.S. Attorney's office, private practice, as well as a U.S. District Court judge. The panelists will review recent SEC / DOJ trends, explore strategies to take in the courtroom, and will provide helpful approaches for practitioners representing clients under investigation, when indicted, and during appeals. Join us following the seminar for a networking reception.

### SPONSORED BY:

Criminal Law Section

Business Transactions Section  
Securities Enforcement Committee

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### PROGRAM CO-CHAIRS:

#### **Rachel E. Hershfang, Esq.**

Securities & Exchange Commission

#### **Jonathan L. Kotlier, Esq.**

Nutter McClennen & Fish

#### **Ian D. Roffman, Esq.**

Nutter, McLennen & Fish LLP