

Securities Regulation Forms Practice Compliance Securities Law Series

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Securities Regulation Forms Practice Compliance

SEC examiners are focusing on whether registered firms' ESG disclosures align with their investment practices.

Compliance involvement crucial to consistent ESG disclosures, SEC says

Law360 is pleased to announce the formation of its 2021 Securities Editorial Advisory Board. The editorial advisory board provides feedback on Law360's coverage and expert insight on how best to shape ...

Law360's 2021 Securities Editorial Advisory Board

Since announcing the creation of its Climate and ESG Task Force on March 4, 2021, the Securities and Exchange ... on March 11 to the Tulane Corporate Law Institute, John Coates, the Acting ...

SEC Underscores ESG Disclosure and Compliance Priorities

SEC examiners found portfolio management practices were inconsistent with how firms disclosed their ESG approaches.

SEC Risk Alert Flags Advisors' Questionable ESG Investing Practices

Vedder Price PC has added the former co-head of Mayer Brown LLP's securities litigation and enforcement practice as a shareholder in its government investigations and white collar group in Washington, ...

Ex-Mayer Brown Securities Head Joins Vedder Price In DC

The Division of Examinations (the Division) (formerly known as the Office of Compliance Inspections and Examinations, or OCIE) of the U.S. Securities and Exchange Commission (SEC) released its ...

2021 SEC Examination Priorities for Securities Industry Registrants

Lucosky Brookman LLP (a leading corporate finance and securities law firm, proudly announces that it has added acclaimed attorney Adele Hogan as a Partner and Co-Chair of the firm's Corporate & ...

Acclaimed Attorney Adele Hogan Joins Lucosky Brookman LLP as Partner and Co-Chair of Corporate & Securities Practice Group

To help these firms reduce compliance ... the SEC ' s Regulation Best Interest, the Ontario Securities Commission ' s (OSC) Client Focused Reforms; the Monetary Authority of Singapore's Private Banking ...

NICE Actimize Introduces AI-Powered SURVEIL-X Suitability To Reduce Compliance Risk for Wealth Management, Insurance Firms

IEX Group has appointed Rachel Barnett as chief legal officer, in which she will oversee all legal and compliance matters for the financial technology company.

IEX Group appoints head of legal and compliance

Glancy Prongay & Murray LLP (" GPM "), a leading national shareholder rights law firm, today announced that it has commenced an investigation on behalf of LifeMD, Inc. (" LifeMD " or the " Company ") ...

Glancy Prongay & Murray LLP, a Leading Securities Fraud Law Firm, Announces Investigation of LifeMD, Inc. (LFMD) on Behalf of Investors

The law firm of Kessler Topaz Meltzer & Check, LLP announces that a securities fraud class action lawsuit has been filed in the United States District Court for the Southern District of Ohio against ...

SHAREHOLDER ALERT: Kessler Topaz Meltzer & Check, LLP Announces Securities Fraud Class Action Lawsuit Filed Against Root, Inc.

Bradley A. Jacobson, shareholder in the Corporate Practice at global law firm Greenberg Traurig, LLP, will speak at the Practising Law Institute's Private Placements and ...

Greenberg Traurig's Bradley Jacobson to Speak at PLI's Private Placements and Hybrid Securities Offerings 2021 Virtual Conference

Kessler Topaz Meltzer & Check, LLP Reminds Shareholders of Clover Health Investments, Corp. of Deadline in Securities Fraud Class Action Lawsuit. Apr 10, 2021 10:33 AM ET. Legal N ...

Kessler Topaz Meltzer & Check, LLP Reminds Shareholders of Clover Health Investments, Corp. of Deadline in Securities Fraud Class Action Lawsuit

NEW YORK, NY / ACCESSWIRE / April 16, 2021 / The securities litigation law firm of The Gross Law Firm issues the following notice on behalf of shareholders in the following publicly traded companies.

The Gross Law Firm Announces Class Actions on Behalf of Shareholders of EBIX, APA and PLUG

Duver have joined the New York office as partners in the firm ' s corporate and securities team. Lee and Duver come to the firm from Loeb & Loeb LLP, where Lee was co-chair of the energy practice.

Leading Corporate and Securities Duo Joins Bracewell ' s New York Office

The new practice ... that security and compliance go hand-in-hand, yet many organizations find it hard to deploy, maintain, and protect their technology. State and federal regulations can seem ...

SilverSun Technologies Establishes IT Security and Compliance Division

The Rosen Law Firm represents investors throughout the globe, concentrating its practice in securities class actions and shareholder ... Jianpu ' s fiscal 2018 Form 20-F was reasonably likely to be ...

JT INVESTOR ALERT: ROSEN, A LEADING AND LONGSTANDING LAW FIRM, Encourages Jianpu Technology Inc. Investors with Large Losses to Secure Counsel Before Important April 19 ...

April 13, 2021 /PRNewswire/ -- The law firm of Kessler Topaz Meltzer & Check, LLP announces that a securities fraud class action lawsuit ... 3D Systems will delay filing its Annual Report on a Form 10 ...

DDD CLASS ACTION ALERT: Kessler Topaz Meltzer & Check, LLP Announces a Securities Fraud Class Action Lawsuit Filed Against 3D Systems Corp.

The law firm of Kessler Topaz Meltzer & Check, LLP reminds investors that a securities fraud class action lawsuit has ...

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