

NABL The Workshop 2023 – SEC and FINRA Enforcement

Event

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Ed Fierro will chair a panel titled “SEC and FINRA Enforcement” at NABL’s The Workshop 2023. This panel will examine recent and notable SEC and FINRA enforcement actions and provide an overview of the priorities of the SEC’s Public Finance Abuse Unit and FINRA. The panel will also provide an overview of the investigation process for the SEC and FINRA.

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