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The 5th Annual Professor Anthony J. Santoro Business Law Lecture: Enforcing Insider Trading Laws: the Changing Landscape

Stephen L. Cohen

Roger Williams University School of Law

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Professor Anthony J. Santoro Business Law Lecture

Thursday, 09/22/2016 @ 5:00pm

Location: Omni Hotel Providence



Enforcing Insider Trading Laws: The Changing Landscape

RWU School of Law is pleased to present **Stephen L. Cohen, former Associate Director of the U.S. Securities and Exchange Commission's Enforcement Division**, as the guest speaker for the Professor Anthony J. Santoro Business Law Lecture on Thursday, September 22, 2016 at the Omni Hotel Providence.

From 2004 through June 2016, Mr. Cohen was at the forefront of the SEC's domestic and international enforcement efforts, including investigations of insider trading violations. In the wake of the most recent wave of insider trading enforcement cases, he has worked first-hand with the policies and the court decisions that continue to shape today's standards of civil liability and enforcement. From this vantage point, Mr. Cohen's talk will explore the complexities and uncertainties surrounding current liability. He will focus on the unusual historic development of insider trading law and the absence of any federal statutory framework; evolving changes in the government's enforcement focus; and a relatively recent trend of hacking cases that strain the limits of the law.

5:00 pm Registration

5:30 pm Lecture

6:30 pm Reception

Omni Hotel Providence
One West Exchange Street
Providence, Rhode Island

This lecture is approved for one (1) Rhode Island CLE credit, no ethics credit.

We would like to thank all of our generous donors for making this endowed lecture series possible, with sincere appreciation to the following individuals for their leadership support: Brian C. Ali, Esq. '06, William A. Flanagan '05, Mr. Mario J. Gabelli '92H, Kevin W. Lewis, Esq. '08, John A. Pagliarini Jr., Esq. '99, Kevin P. Sullivan, Esq. '08, Jason B. Van Volkenburgh, Esq. '07.

A special thank you to the following corporate donors:

- **Deutsche Bank Americas Foundation**
- **Hunter Douglas**
- **Hinckley Allen**

Alumni, faculty and friends who wish to support The Professor Anthony J. Santoro Business Law Lecture Series Endowment can make a secure online gift at: <http://law.rwu.edu/give/santoro-lecture-series-endowment>.

The Professor Anthony J. Santoro

Business Law Lecture Series



Stephen L. Cohen

Former Associate Director of the SEC's Enforcement Division

ENFORCING INSIDER TRADING LAWS: THE CHANGING LANDSCAPE

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Roger Williams University
SCHOOL OF LAW

The Professor Anthony J. Santoro

Business Law Lecture Series



Stephen L. Cohen

Former Associate Director of the SEC's Enforcement Division

ENFORCING INSIDER TRADING LAWS: THE CHANGING LANDSCAPE

September 22, 2016

5:30 p.m.

Reception to Follow

Roger Williams University
SCHOOL OF LAW

STEPHEN L. COHEN



Stephen L. Cohen served as Associate Director in the Securities and Exchange Commission's Division of Enforcement from 2011-2016. In that capacity, Steve oversaw a broad range of domestic and international enforcement activities, including investigations involving accounting and disclosure fraud, insider trading, the Foreign Corrupt Practices Act, registered and unregistered securities offerings, market abuses, broker-dealers, investment advisers and other regulated entities. Steve rejoined the Division in 2011 after spending two years as Senior Advisor to SEC Chairman Mary Schapiro. In that capacity, he advised the Chairman concerning policy and administrative matters focusing mostly on Enforcement and Compliance issues, legislative matters, Congressional hearings, and coordination with other government agencies. Steve was intimately involved in various aspects of the Dodd-Frank Act, including substantial involvement with the whistleblower legislation and subsequent rulemaking. Prior to joining the Chairman's staff, Steve served as Assistant Chief Litigation Counsel in the Division of Enforcement. Steve has also worked in private practice and as a trial attorney at the US Department of Justice where he was part of the Attorney General's Honors Program. He clerked for a federal judge in Miami and is a graduate of the University of Miami School of Law and Boston University.

PROGRAM

Welcome

MICHAEL J. YELNOSKY

Roger Williams University School of Law Dean & Professor of Law

Opening Remarks

ANTHONY J. SANTORO

Roger Williams University President Emeritus & Professor of Law

Introduced by

BRANDON J. CUFFY, ESQ. '14

ENFORCING INSIDER TRADING LAWS: THE CHANGING LANDSCAPE

STEPHEN L. COHEN

Former Associate Director of the SEC's Enforcement Division

Introduced by

SUSAN HEYMAN

Roger Williams University School of Law Professor

Reception to Follow

The Professor Anthony J. Santoro Business Law Lecture Series
brings leading lawyers and business professionals to RWU Law,
presenting on important issues in the field of business law while enriching
the school's dynamic learning environment with practical knowledge and
valuable networking opportunities.

This series is a wonderful tribute to Professor Santoro's distinguished
career as a legal educator, a past president of Roger Williams University
and the founding dean of Roger Williams University School of Law.

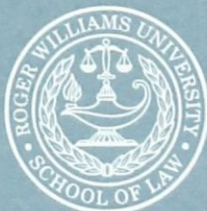
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