



SEC Compliance and Enforcement Answer Book 2015

David M. Stuart

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Edited by David M. Stuart (Cravath, Swaine and Moore LLP), this expert Q&A guide compiles the perspectives of leading practitioners from around the country who have previously served in the SEC Enforcement Division, many of whom were in some of the most senior positions in the Division.

Leveraging the authors' experience and expertise, **SEC Compliance and Enforcement Answer Book 2015** provides nuts and bolts guidance on:

- Conducting an effective internal investigation – while the SEC is simultaneously investigating
- Responding to SEC requests and subpoenas for documents, interviews, and testimony
- Cooperating effectively with SEC staff
- The Wells process, negotiating resolutions, and litigating with the SEC
- The complexities that arise when criminal and international law enforcement authorities becomes involved in an SEC investigation

Additionally, **SEC Compliance and Enforcement Answer Book 2015** answers questions on insider trading, accounting and securities fraud, market manipulation and foreign corruption. The Q&A guide also tackles special issues related to investigations of attorneys, accountants, and those identified by whistleblowers.

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