

News & Insights

John Dickey to Present at FINRA CLE SuperCourse

Will Address Regulatory Issues and Trends for Investment Advisors

August 7, 2013

On Friday, September 20, 2013, John C. Dickey, a corporate finance attorney and member in Dykema's Dallas Office, will be a guest presenter at the FINRA (Financial Industry Regulatory Authority) CLE SuperCourse, presented by Trial.com, a not-for-profit membership association that provides CLE seminars on topics that figure prominently in trial and litigation representation. This one-day event will be held at The City Bar Building in New York City.

Dickey's presentation, "Regulatory Issues and Trends for Investment Advisors," will focus on the new market-wide priorities and program area-specific initiatives of the Securities and Exchange Commission (SEC) to regulate investment advisors and broker dealers. Dickey will discuss and provide insight into the SEC's recently announced priorities — which include:

- Fraud detection and prevention;
- Conflicts of interest;
- Technological issues; and
- Regulation and compliance of private equity fund advisers

This day-long seminar is aimed at senior-level legal professionals who either work with or at financial services companies. The seminar is accredited, with participants earning 6.0 CLE hours.

To learn more, or to register, [click here](#).

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