

LUNCH LECTURE

REPRESENTING CLIENTS IN SEC INVESTIGATIONS AND ENFORCEMENT ACTIONS

TUESDAY, NOVEMBER 14, 2023

12:45 P.M.—1:45 P.M.

Lunch will be provided to those who register.

W302

RSVP: www.nyls.edu/FillerRSVP3



This event is
for the NYLS
community only.

To protect investors and maintain fair markets, the U.S. Securities and Exchange Commission (SEC) investigates and brings hundreds of enforcement actions against violations of federal securities laws every year. In this lecture, Mark Astarita '81 will give an overview of his work in representing clients during SEC investigations and enforcement matters involving a wide range of possible securities violations.

The Ronald H. Filler Institute for Financial Services Law is housed within the Center for Business and Financial Law.



Mark Astarita '81, an AV-rated attorney and Partner in Sallah Astarita & Cox LLC, has represented a wide range of clients before securities regulators in state and federal courts in more than 700 arbitrations and countless regulatory investigations and enforcement proceedings in 24 states over a career spanning four decades.

