



finders and unregistered broker-dealers: understanding the risks and recent developments

Webinar

May 15, 2019
1:00 PM - 2:30 PM (EDT)

Arina Shulga will be speaking via live webinar on "Finders and Unregistered Broker-Dealers: Understanding the Risks and Recent Developments," scheduled for Wednesday, May 15, 1:00 PM - 2:30 PM (EDT).

During this webinar, the panel will analyze the legal pitfalls for securities issuers who utilize unregistered "finders" to solicit investors, the SEC's restrictive position on permissible activities of finders, activities that require broker-dealer registration, and SEC regulatory actions regarding unregistered broker-dealers. The panel will also discuss the SEC's focus on broker-dealer issues in the private fund market, the ICO market, as well as the online crowdfunding portal space, and recent enforcement actions against fund managers.

After the presentations, the speakers will engage in a live question and answer session with participants so they can answer questions about these important issues directly.

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