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FINRA Disciplinary Hearings Forum.

The SIFMA FINRA Disciplinary Hearings Forum

February 12, 2015
SIFMA Conference Center, NYC

SIFMA's FINRA Disciplinary Hearings Forum is a half-day interactive program that will provide valuable insights and practice tips both for lawyers experienced in FINRA proceedings and those new to the forum.

Panelists will include FINRA's Chief Hearing Officer, FINRA's Head of Litigation, and other senior officers from FINRA's Office of Hearing Officers and Department of Enforcement.

Topics to be covered include:

- The Office of Hearing Officers role in administering disciplinary proceedings
- The complaint, answer, pre-hearing conference, and settlement and mediation
- Discovery, motions practice, and pre-hearing submissions
- Hearings, the decision, sanctions, and appeal

Please join us at this first-class event, moderated by seasoned practitioners from the defense bar, for a deep dive into the inner workings of a FINRA disciplinary hearing.

Read the program.

Register.

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