

Articles

"Being Prepared for an SEC Investigation"

Spencer C. Barasch

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Since Sarbanes-Oxley, the Securities and Exchange Commission's Enforcement Division has been more active than ever before, there is a strong likelihood that every securities industry participant will eventually have some encounter with the SEC Enforcement Division.

In this new environment, however, the reach of SEC Enforcement is not limited to those in the securities industry. Private companies that do business with public companies (e.g., manufacturers, distributors, service companies, etc.) may not only find themselves responding to SEC requests for documents and testimony, but also explaining why they should not be held liable as aiders and abettors.

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