

# Securities Litigation, Arbitration, and Regulatory Investigations in the COVID-19 (and hopefully Post-COVID-19) World

## Location

Webinar

## Date & Time

Start Date: 06/04/2020

Start Time: 1:00 PM

End Time: 2:00 PM

## Speakers

With COVID-19-related stock drop cases, suitability claims, and regulatory investigations expected to spike in the months to come, public and private companies, investment advisers, and brokerage firms need to prepare for the expected onslaught of litigation. Many regulators and members of the plaintiffs securities bar have made clear that this wave of litigation and regulatory activity is less a matter of "if" and more a matter of "when." So what can companies do now to prepare?

Despite the fact that market conditions have been (and continue to be) nearly universally impacted by the pandemic crisis, securities lawyers believe that companies face a real risk of securities fraud and "bad investment advice" cases. Securities regulators are expected to be highly active during this time as well. The SEC will likely look more carefully at several areas including microcap fraud, insider trading, and market manipulation. As was the case during previous periods of crisis, event-driven stock-drop securities class actions will play prominently as well.

This webinar addresses some potential avenues available for companies and firms to reduce their litigation and regulatory risk while they continue to negotiate their way through the broader landmines of the pandemic. It will also outline potential defenses to these anticipated claims.

- Will investors expect their advisers to recommend more aggressive or less aggressive investments in a volatile market environment?
- Will regulators, arbitration panels, and courts accept lack of proximate cause as a valid defense?
- Will there be a rise in failure to supervise claims driven by the work-from-home environment?
- What types of disclosures should companies be making on their SEC filings

## ATTORNEYS



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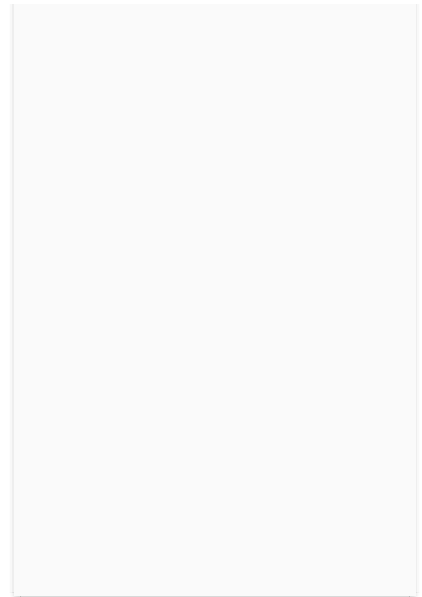
Securities Litigation & SEC Enforcement

related to COVID-19?

- Should a company refrain from certain securities transaction activity based upon COVID-19 risk issues for the company?
- How forcefully will the SEC seek trading suspensions in this environment and file civil actions against companies?

We will hear from litigators with deep experience in different types of securities disputes that are heard before various tribunals. Hear how the COVID-19 crisis is impacting private securities fraud claims, FINRA arbitration claims, and SEC enforcement investigations.

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