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Webcast: SEC Enforcement Update

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This year has reflected a dichotomy in SEC Enforcement. On one hand, the Enforcement Division has continued to pursue an aggressive agenda pressing expansive legal theories, increasing sanctions and broad rulemaking. At the same time, certain Commissioners have publicly dissented from the some of the Division's more aggressive positions, and the SEC has suffered a number of notable defeats in the courts, all of which have potentially broad implications for the Enforcement program. Added to all of that is the potential for a shift enforcement focus with the upcoming change in administration, regardless of the outcome of the Presidential election. Gibson Dunn attorneys, including two former SEC regional directors, will cover the latest hot topics in SEC Enforcement, including:

- Implications of recent court decisions
- Latest trends in SEC Enforcement
- Strategies for mitigating risk of investigations and enforcement actions
- Looking ahead to 2025 and beyond

PANELISTS: Mark K. Schonfeld is a litigation partner in the New York office of Gibson, Dunn & Crutcher and co-chair of Gibson Dunn's Securities Enforcement Practice Group. He is also a member of the firm's Crisis Management, Accounting Firm Advisory and Defense and White Collar Defense and Investigations Practice Groups. Mark's practice focuses on the representation of financial institutions, public companies, hedge funds, accounting firms and private equity firms in investigations conducted by the Securities and Exchange Commission (SEC), Department of Justice (DOJ), States Attorneys General, Financial Industry Regulatory Authority (FINRA) and other regulatory organizations. Mark also conducts internal investigations and counsels clients on compliance and corporate governance matters. Prior to joining Gibson Dunn, Mark concluded a 12-year career with the SEC, the last four years as the Director of the New York Regional Office, the largest of the SEC's regional offices. Mark oversaw professional staff of nearly 400 enforcement attorneys, accountants, investigators and compliance examiners engaged in the investigation and prosecution of enforcement actions and the performance of compliance inspections of more than 4,000 SEC registered financial institutions in the region. Mark led the New York Office through one of the most vibrant and rapidly evolving periods in the history of the SEC and securities law enforcement and brought many of SEC's major landmark cases dealing with complex accounting fraud, mutual fund trading, hedge fund abuses, foreign bribery, insider trading and market manipulation. He is admitted to practice law in the State of New York. **David Woodcock** is a partner in the Dallas and Washington offices of Gibson, Dunn & Crutcher. He is a co-chair of the firm's Securities Enforcement Practice Group, and a member of the firm's Securities Regulation and Corporate Governance, Accounting Firm Advisory and Defense; White Collar Defense and Investigations; Energy, Regulation and Litigation; Securities Litigation; and Oil and Gas Practice Groups. His practice focuses on internal investigations and SEC defense, with a particular emphasis on accounting and financial reporting, corporate compliance, and audit/special committee investigations. Mr. Woodcock regularly advises clients on corporate securities and governance, the role of the board, shareholder activism, and ESG-related issues, including the energy transition, climate disclosures, enterprise risk management practices, cybersecurity, and related U.S./European regulations. He also counsels investment advisors and private equity funds in the context of SEC examinations and investigations, ESG matters, and portfolio due diligence and compliance. David is

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