**Developments in the Regulation of Financial Products**

October 4, 2024

9:00 am – 5:15 pm ET

**Examinations and Enforcement of the Federal Securities Laws**

2:30 p.m. – 3:45 p.m.

**Resource Materials:**

* [SEC 2024 Examination Priorities](https://www.sec.gov/files/2024-exam-priorities.pdf)
* [SEC Division of Examinations Releases 2024 Priorities (December 2023)](https://www.dechert.com/knowledge/onpoint/2023/12/sec-division-of-examinations-releases-2024-priorities.html)
* [SolarWinds Corporation and Timothy G. Brown (October 30, 2023)](https://www.sec.gov/files/litigation/complaints/2023/comp-pr2023-227.pdf)
* [CATALYST CAPITAL ADVISORS LLC (April 29, 2024)](https://www.sec.gov/files/litigation/admin/2024/ia-6597.pdf)
* [SOUND POINT CAPITAL MANAGEMENT, LP](https://www.sec.gov/files/litigation/admin/2024/ia-6666.pdf) (August 26, 2024)
* [Twenty-Six Firms to Pay More Than $390 Million Combined to Settle SEC’s Charges for Widespread Recordkeeping Failures (August 2024)](https://www.sec.gov/newsroom/press-releases/2024-98)
* [SEC Charges Nine Investment Advisers in Ongoing Sweep into Marketing Rule Violations (September 2024)](https://www.sec.gov/newsroom/press-releases/2024-121)
* [Whistleblower Protections (SEC)](https://www.sec.gov/enforcement-litigation/whistleblower-program/whistleblower-protections)
* [Supreme Court Ends Chevron Deference Among String of Decisions Limiting Agency Power](https://www.dechert.com/knowledge/onpoint/2024/7/supreme-court-ends-chevron-deference--limits-agency-power.html) (July 2024)
* [Supreme Court Curtails SEC In-House Judges on Litigated Civil Penalties (July 2024)](https://www.dechert.com/knowledge/onpoint/2024/7/supreme-court-curtails-sec-in-house-judges-on-litigated-civil-pe.html)