

Diverse Paths to a Career in Securities Law Enforcement and Compliance

Government and Regulatory Attorneys and Examiners Discuss Careers in Securities Enforcement and Regulation in the Bay Area

Join us for a discussion of careers in securities regulation and enforcement, including the opportunities to work in this area with the Securities & Exchange Commission, Financial Industry Regulatory Authority, and the U.S. Attorney's Office. Examiners, enforcement attorneys, and prosecutors will discuss their paths and the work they do, the significance of their agencies' missions, and the continued importance of diversity and inclusion in the field of securities regulation and enforcement. There will be a Q&A session at the end.

Date: May 18, 2021
Time: 5:00 – 6:00 pm PT

INTRODUCTIONS BY

Stephanie Hinds, Acting United States Attorney, Northern District of California
Erin Schneider, San Francisco Regional Director, U.S. Securities & Exchange Commission

PANELISTS INCLUDE

Tracy Davis, Assistant Regional Director, Division of Enforcement, SEC
Lloyd Farnham, Assistant United States Attorney, NDCA, Securities Fraud Section
Kimberly Hopkins, Assistant United States Attorney, NDCA, Corporate Fraud Strike Force
Han Nguyen, Examination Manager, FINRA
Thu Ta, Assistant Regional Director, Division of Examinations, SEC

HOW TO ATTEND

To attend this virtual free event and obtain the video conference link, please send your name and email to BayAreaPanel@sec.gov by **Monday, May 17, 2021**. You will receive reminder emails with the video conference link 24 hours and 2 hours before the event.



PRESENTED BY:
San Francisco Regional Office,
US Securities & Exchange Commission

United States Attorney's Office for the
Northern District of California

Financial Industry Regulatory Authority