

The SEC Cooperation Initiative and Its Criminal Roots

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After Lehman Brothers, Bernie Madoff and the mortgage-backed securities meltdown of 2008, Dodd-Frank and the public have charged the U.S. Securities & Exchange Commission with doing its part to help prevent another financial and economic catastrophe by regulating with more authority various securities products and industries. A primary tool developed by the SEC to do this is the creation of the SEC's Cooperation Initiative in 2010.

Securities practitioners should have a working understanding of the SEC cooperation tools as well as the Department of Justice's cooperation tools that are incorporated by reference into the SEC Cooperation Initiative. Miller Canfield lawyer Matt Allen broke down some of the Initiative's salient portions and issues that may arise as its implementation continues.

>>Read Matt's detailed analysis of the SEC Cooperation Initiative.