

PUBLICATIONS

Insider Trading Developments

Summer 2014

The SEC and DOJ are continuing to investigate and prosecute insider trading cases at a rate not seen in a generation or more, and even the New York State Attorney General has become involved in the area. The popular and legal press have focused attention on the prominence of some of the targets, the increasingly disparate success rates of the Manhattan U.S. Attorney's Office and the SEC, and the anticipated ruling from the Second Circuit on remote tippee liability. But several other developments may carry greater practical significance for most hedge fund managers and other members of the financial services industry. Those developments, which are explored in this issue of SRZ's *Insider Trading Developments* newsletter, highlight the potential for insider trading prohibitions and remedies to extend beyond where one might normally expect, which, in turn, could affect portfolio managers, investment management compliance officers and other industry personnel in ways not necessarily anticipated.

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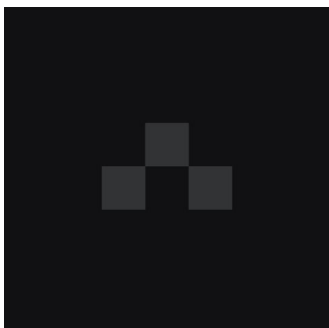
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