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Section 13 and Section 16 Enforcement Actions — A Guide for Staying in Compliance

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Investors in U.S. public companies have many regulatory issues to consider when building their positions, not the least of which are the reporting and profit disgorgement rules under Sections 13(d) and 13(g) and Section 16(a) of the Securities Exchange Act of 1934, as amended (the “Exchange Act”). It is important for shareholders, officers and directors to understand when the filing requirements are triggered and how to comply with them, especially in light of the continued focus on this area by the Securities and Exchange Commission. In this article, partner Eleazer Klein and special counsel Adriana Schwartz summarize recent enforcement actions and discuss ways to ensure compliance with Sections 13 and 16 of the Exchange Act.

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