

# Broker-Dealer Law Update 2024

*Recent regulatory activity by the U.S. Securities and Exchange Commission (SEC), proposed new rules, and what both could mean for broker-dealers in 2024*

Regulatory scrutiny of broker-dealers continued to increase throughout 2023 and by all indications will continue to do so in 2024. In what appears to have become the “new normal” there is seemingly heightened sensitivity among regulators towards activities which previously would likely not have resulted in enforcement actions. The increase in enforcement actions coupled with proposed new rules for broker-dealers provides a framework for how regulators envisage the future of the industry. This new program provides you with insights into patterns of enforcement actions, the latest proposed rule changes, and what both mean for broker-dealers going forward.

## Agenda

- What Is a Broker?
- Regulation Through Enforcement: What Does It Mean and How Is It Implemented?
- Electronic Communications and Record Keeping Best Practices
- Disclosure and Suitability Reminder: Recent ESG Enforcement Activity
- Proposed New Rules for Broker-Dealers
- Regulatory and Enforcement Forecast
- “Ask the Experts” Q&A Session

## Faculty

Theodore M. Grannatt, Esq., *McCarter & English LLP, Boston*, Chair  
Joseph C. Donahue, Esq., *McCarter & English LLP, Boston*

## Dates & Location

Register at [www.mcle.org](http://www.mcle.org)

### LIVE WEBCAST

Tuesday, July 30, 2024  
12:00 pm–1:00 pm  
Program # 2240170WBC

### REBROADCAST

Wednesday, August 18, 2024  
3:00 pm–4:00 pm  
Program # 2240170RB1

### REBROADCAST

Thursday, August 22, 2024  
9:00 am–10:00 am  
Program # 2240170RB2

### ON DEMAND WEBCAST

View after Thursday, August 22, 2024  
Program # 2240170WBA

## Tuition *(includes written materials)*

- \$145
- \$130.50 MCLE Members
- \$72.50 New Lawyers admitted to law practice within 5 years, Pending Admittees, Law Students, and Paralegals
- **FREE** for MCLE OnlinePass Subscribers

To apply for a need-based scholarship, email [scholarships@mcle.org](mailto:scholarships@mcle.org).

## Materials

- E-materials link emailed upon registration
- Transcript & videorecording emailed 2 weeks post-program

## CLE Credits

Earn up to 1 CLE credit



## Subscribe to the MCLE OnlinePass®

for instant access to this program and everything else MCLE offers online.

Learn more at [www.mcle.org](http://www.mcle.org)