

SEC Steps Up Enforcement of Stock Ownership Reporting Requirements

OCTOBER 1, 2014

On September 10, 2014, the Securities and Exchange Commission (the “SEC”) announced significant fines against 28 officers, directors and investment firms for failing to make timely filings of reports on Form 4 and Schedules 13D and 13G under the Securities Exchange Act of 1934. In addition, the SEC brought charges against six public companies for contributing to the failure of their officers and directors to file timely reports. This briefing discusses the SEC’s enforcement action and highlights important steps that officers and directors of public companies can take to ensure compliance with reporting requirements.

Less Than 1 Min Read

Related Locations

Chicago

New York

Related Topics

Corporate

M&A

Private Equity

Securities and Exchange Commission (SEC)

Related Capabilities

Transactions

Mergers & Acquisitions

Private Equity

Related Regions

North America

Related Professionals



Matt Bergmann



Oscar David



Dominick P. DeChiara



Steven J. Gavin



David Sakowitz



Brian Schafer