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CORPORATE AND SECURITIES LITIGATION TIPS

by

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MAY 2024 TIPS

Consider Mediation

Using mediation as an alternative dispute resolution method can save time and expenses compared to lengthy litigation. Mediation can preserve professional relationships and confidentiality while allowing parties to control the outcome of their dispute.

Prepare thoroughly for mediation by gathering all relevant documentation and developing a clear strategy. Maintain an open mind and be ready to compromise. Effective communication and cooperation can lead to a mutually agreeable settlement. For more information, please contact Dharmi Mehta, Esq. at 619.298.2880 or email info@jackolg.com

Investment Advisers facing SEC Enforcement

Advisers facing SEC enforcement actions should prioritize compliance and cooperation. Engage the services of experienced legal counsel who can guide you through the process and respond effectively to SEC inquiries. Preserve all relevant records and documentation and conduct a thorough internal review to identify potential compliance issues. Develop a strong defense strategy and consider settlement options if appropriate. Maintaining proactive and honest communication can lead to a more favorable outcome and potentially minimize penalties. For more information, please contact Dharmi Mehta, Esq. at 619.298.2880 or email info@jackolg.com