



News & Trending

PUBLICATIONS & ALERTS

WHEN THE SEC CALLS

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MARGARET ROSENFELD OFFERS TIPS ON RESPONDING TO SEC INQUIRIES AT NATIONAL INVESTOR RELATIONS INSTITUTE MEETINGS

Smith Anderson lawyer Margaret Rosenfeld recently was a featured speaker at the Triangle Chapter of the National Investor Relations Institute (NIRI). Ms. Rosenfeld's presentation "When the SEC Calls - Handling Disclosure and Investor Relations Issues Related to SEC Comment Letters, Inquiries and Investigations" offered attendees an overview of the common reasons that may trigger a need to publicly disclose a company's interactions with the SEC and practical tips to assist when an SEC inquiry or investigation occurs.

Ms. Rosenfeld will reprise her presentation at the January 2007 meeting of NIRI's Richmond Chapter. For a copy of the presentation, please contact Eileen LePage at elepage@smithlaw.com.

Founded in 1969, NIRI serves the needs of corporate officers and investor relations consultants responsible for communication among corporate management, the investing public and the financial community. The organization's 4300 members in 33 chapters throughout the United States represent the majority of the largest publicly held corporations in the U.S. as well as many small and mid-sized companies.

A corporate, finance and securities lawyer, Ms. Rosenfeld has broad experience assisting emerging, growth and mature companies with legal, business and strategic planning including responses, discussions and negotiations with the SEC with respect to inquiries and investigations. She has represented both companies and underwriters with initial public offerings on numerous stock exchanges including the New York Stock Exchange, NASDAQ, the London Stock Exchange, the Deutsche Boerse (the Frankfurt Stock Exchange), EASDAQ, the Amsterdam Stock Exchange and the Luxembourg Stock Exchange.

Ms. Rosenfeld's professional accomplishments include serving on the New York Bar Association's Committee on Securities Regulation and serving on the boards of directors of the Association for Corporate Growth and The Women's Institute. She formerly served as Vice-President of the Raleigh Chapter of Business and Professional Women.

About Smith Anderson

Since our founding in 1912, Smith Anderson has grown to become the largest Triangle-based law firm and one of the largest in North Carolina. Representing diverse organizations with local, state, national and international interests, our lawyers focus on building and strengthening relationships by understanding our clients' businesses and customizing our legal solutions accordingly. Our commitment to our clients also extends to our community and profession.

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PRACTICE AREAS

Public Companies

