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New Seminar!

Internal Investigations

How to React (and Not Overreact) to Allegations of Corporate Misconduct in the New Regulatory Environment

December 12, 2003 • Hyatt Regency Hotel • Downtown Denver

Who Should Attend:

- Attorneys and Legal Staff
 - Auditors
 - Accountants
 - Corporate Officers and Directors
 - Human Resource Personnel
 - Private Investigators
 - Internal Auditors
 - Managers
 - In-House Counsel
 - Compliance Officers
 - Government Officials
- ...and anyone interested and affected by internal investigation issues!

Dear Colleagues:

In recent years, the business world has been rocked by a series of widely publicized scandals. In turn, these scandals have triggered a wave of investigations by law enforcement authorities, regulators and private parties, the enactment of the sweeping Sarbanes-Oxley Act, and a fundamental rethinking of the law of corporate governance.



Edwin P. Aro, Esq.

In this new regulatory environment, internal investigations of alleged wrongdoing are of central importance. In many cases, the timing, nature, scope and structure of an internal investigation is dispositive in determining the liability of a company and its agents, and the penalties, if any, imposed on them. Whether the problem arises from a claim of accounting irregularities, regulatory violations or noncompliance with civil rights laws, businesses, and the executives who run them and the lawyers who represent them must understand how to evaluate claims of misconduct, how to investigate them, and what to do with the information they collect.

This program's faculty, comprised of leading experts from private practice and the government, will examine the investigative process from beginning to end, discussing when and how to investigate, how to manage internal and external constituencies who have an interest in the outcome, and how to avoid the many legal pitfalls that surround the investigative process. We hope that you will join us for this important program.

Sincerely,

Edwin P. Aro, Esq., Program Chair
Hogan & Hartson



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Register Online at www.cle.com or Call (800) 873-7130
Seminar Schedule Inside



Morning 8:30 am – 12:00 pm

Afternoon 1:15 pm – 5:15 pm

8:30 Registration

9:00 **Welcome and Introduction**
Edwin P. Aro, Esq., Program Chair
Hogan & Hartson, Denver

9:15 **Featured Presentation—
Corporate Investigations**
Investigations Arising from Securities; Accounting and
Corporate Governance Problems
Daniel F. Shea, Esq.
Hogan & Hartson, Denver

10:15 Morning Break

10:30 **The Regulator's View of Investigations**
How They Should and Should Not Be Handled
*Randall J. Fons, Esq., Regional Director,
Central Region*
Securities and Exchange Commission, Denver

11:15 **How to "O.J." an Investigation**
Poking Holes in an Investigator's Work and How
to Avoid Creating Them in the First Place
Kevin D. Evans, Esq.
Steece & Evans, Denver

12:00 Lunch Break

1:15 **Featured Presentation—
Communications, Crisis Management
and Beyond**
Handling Internal and External Constituencies
During an Investigation
Thomas L. Strickland, Esq.
Hogan & Hartson, Denver

2:15 **Practical Aspects of Investigating
Alleged Misconduct**
How to Get What You Need to Know
David L. Williams, Private Investigator
Denver

3:00 Afternoon Break

3:15 **The Law of Investigations**
Ethical and Statutory Limitations; The Attorney-Client
Privilege; The Fair Credit Reporting Act
Edwin P. Aro, Esq., Program Chair

4:15 **Employment-Related Investigations**
An Insider's Guide
Lisa D.L. Williams, Esq.
Legal Affairs Manager and EEO Investigator
Qwest Communications, Denver

5:00 Q&A Panel
Members of the Faculty

5:15 Adjourn

**Upcoming
Conferences
in Denver**

Coalbed Methane Gas
Extraction
November 14, 2003
Telecommunications Law
December 4-5, 2003

Ethics
December 5, 2003
CLE Bootcamp
December 11-12, 2003

NEPA Survey
January 23, 2004
Strategic IP Planning
January 26-27, 2004

Internal Investigations
Friday, December 12, 2003

meet your **instructors**

<p>Program Chair</p> <p>Edwin P. Aro is a partner in the Denver office of Hogan & Hartson and a member of the firm's Litigation Group. He is a trial lawyer who handles investigations, lawsuits and arbitrations involving business torts, intellectual property rights, corporate governance, employment, insurance and indemnification matters. His clients include businesses in the financial services, telecommunications, software and biotechnology industries, as well as many executives and professionals. He frequently writes and lectures on internal investigations and trial practice strategies.</p>	<p>Thomas L. Strickland served as United States Attorney for the District of Colorado from 1999 through 2001 and twice earned the Democratic nomination in the race for the United States Senate. He represents clients in a wide range of industries and business issues, including telecommunications, natural resources, public lands, transportation, real estate, environmental matters, government relations and business finance. From 1982 to 1984, he served as director of public policy for Governor Richard Lamm. From 1985 to 1989, he served on and chaired the Colorado Transportation Commission. He also served as legal counsel to the Denver Metro Chamber of Commerce.</p>	<p>Randall J. Fons oversees enforcement and regulatory programs throughout the Central Region. He previously served as the Regional Director of the SEC's Southeast Regional Office. He joined the Commission's staff in 1988 as a staff attorney, and served as a Branch Chief, Senior Trial Counsel, Assistant Regional Director, and Senior Associate Regional Director. He is responsible for significant Commission actions, including actions against W.R. Grace & Co., Piper Capital Management, Inc., the City of Miami, and, most recently, PriceWaterhouseCoopers, LLP, for its violations of the auditor independence rules.</p>
<p>Featured Presenters</p> <p>Daniel F. Shea is a member of Hogan & Hartson's Litigation and Corporate, Securities and Finance Groups. His practice includes defending white collar criminal and complex civil litigation, as well as SEC, NYSE, and NASD enforcement proceedings, conducting internal investigations and providing advice regarding corporate governance and broker-dealer/investment adviser compliance issues. He was previously the director of the central region for the SEC where he managed the activities of three offices responsible for enforcing the federal securities laws in 11 states. He also previously served as a trial attorney for the SEC and the U.S. Departments of Justice and Energy.</p>	<p>Kevin D. Evans represents clients in complex civil and white collar criminal litigation. In his white collar criminal defense practice, he represented the U.S. Olympic Committee in the investigation regarding the award of the 2002 Winter Games to Salt Lake City; a physician charged with violations of the Medicare/Medicaid antikickback statutes; a meat producer in a false statements case arising from an E-coli outbreak; food distributors in adulterated products cases; a commodities broker charged with trading violations on the Chicago Mercantile Exchange; a manager of a large aerospace company accused of false claims regarding the space shuttle program; and a former mayor charged with bribery and extortion.</p>	<p>David L. Williams has been a private investigator in Denver for nearly 25 years. Prior to that, he spent five years on the Colorado Organized Crime Strike Force. He assists lawyers, corporations and individuals in a wide range of investigations in civil and criminal matters, and in recent years has participated in such high-profile matters as the JonBenet Ramsey murder investigation.</p> <p>Lisa D.L. Williams investigates internal complaints of alleged violations of corporate policies and civil rights laws and makes recommendations based on her findings and determinations. Additionally, she investigates and responds to external charges filed with the EEOC and state agencies. Prior to joining Qwest, she was in private practice, specializing in employment law, criminal defense and civil litigation.</p>

seminar **information**

<p>Continuing Education Credit (MCLE) This course has been accredited by the Colorado Board of Continuing Legal and Judicial Education for a maximum of 7 hours of credit, including one hour of ethics. For accreditation in other jurisdictions or disciplines, please call CLE INTERNATIONAL at (303) 377-6600. CLE INTERNATIONAL is an approved sponsor in all jurisdictions with mandatory continuing legal education requirements.</p> <p>Registration Advance registration is recommended, and you are encouraged to mail in your registration early. Or simply call in your registration or homestudy order to (303) 377-6600, fax the registration form to (303) 321-6320, or e-mail your registration to registrar@cle.com. Full payment is due at time of registration. Walk-in registrations will be subject to space availability. Please call CLE INTERNATIONAL at (303) 377-6600 if you require any special accommodations.</p>	<p>Seminar Location and Accommodations The Seminar will be held at the Hyatt Regency Hotel, 1750 Welton Street, Denver, Colorado 80202. For room reservations and special rates, please call Community World Travel at (303) 316-4833.</p> <p>Tuition The tuition fee of \$395 per person includes attendance at all sessions, course materials, continental breakfasts and coffee breaks. CLE INTERNATIONAL offers special rates for nonprofit organizations, full-time judges and law students.</p> <p>Save When Two or More Register Save \$90 or more with our multiple registrant discount! Tuition is only \$350 per person for two or more from the same firm.</p> <p>Cancellation Policy Full tuition refunds (less a \$50 administrative charge) will be given only if notice of cancellation is received by 5:00 p.m. MST on the Friday preceding the Seminar. Substitutions may be made at any time.</p> <p>Sponsorship Information Sponsorship and exhibition opportunities are still available. For more information, please contact Melissa Dafni, Marketing Assistant, at (303) 377-6600 or melissa@cle.com.</p>	<p>Course Materials Each registrant will receive a set of materials prepared by the speakers specifically for this Seminar, which will serve as a valuable future reference. The course materials alone are available for \$95 plus \$10 shipping and handling.</p> <p>Homestudy Package CLE INTERNATIONAL also offers a complete audio cassette transcripts of the Seminar (including all course materials) for \$395 plus \$10 shipping and handling. This package may qualify for homestudy credit.</p> <p>About CLE INTERNATIONAL CLE INTERNATIONAL, a leading provider of continuing education, has been presenting high-quality professional education programs nationwide since 1983.</p> <p>CLE INTERNATIONAL is a recognized sponsor by the Colorado Board of Continuing Legal and Judicial Education, and in every state with mandatory continuing legal education requirements.</p> <p>CLE International Program Attorney: Melinda L. Sanders, melinda@cle.com</p>
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Investigations Arising from
Securities, Accounting and
Corporate Governance
Problems

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Hogan & Hartson, Denver



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External Constituencies
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