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INSIGHT & COMMENTARY ON SEC ENFORCEMENT ACTIONS AND WHITE COLLAR CRIME

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[The Insider Trading Cartoon Series, Vol. 16 -- Salman v. United States](#)

February 2, 2017 - [David Smyth](#) Topics: [Insider Trading](#)

Salman v. United States , 137 S. Ct. 420 (2016), was one of the most anticipated Supreme Court insider trading cases in almost twenty years. It ended up not being revolutionary, but in reaffirming Dirks v. SEC on the contours of the personal benefit...[\(read more\)](#)

[The Insider Trading Cartoon Series, Vol. 15 -- United States v. Newman \(Part 2\)](#)

January 25, 2017 - [David Smyth](#) Topics: [Insider Trading](#)

Welcome to the exciting conclusion to the United States v. Newman mini-series. Today we discuss Newman 's doomed personal benefit test. It would eventually be undone by Salman v. United States , but it's still helpful in understanding what a...[\(read more\)](#)

[The Insider Trading Cartoon Series, Vol. 14 -- United States v. Newman \(Part 1\)](#)

January 17, 2017 - [David Smyth](#) Topics: [Insider Trading](#)

The U.S. Court of Appeals for the Second Circuit shook the insider trading world in 2014 when it issued United States v. Newman , 773 F.3d 438 (2d Cir. 2014). The court addressed the knowledge required for liability of remote tippees and what a...[\(read more\)](#)

[The Insider Trading Cartoon Series, Vol. 13 -- The Barry Switzer Story](#)

January 9, 2017 - [David Smyth](#) Topics: [Insider Trading](#)

Let's take a stroll back to 1981, when football coach Barry Switzer overheard some information that might have become very profitable. Or would it? It's important to remember that in most insider trading cases, there must be an underlying breach of...[\(read more\)](#)

[The Insider Trading Cartoon Series, Vol. XII -- The Innocent Intermediary](#)

December 18, 2016 - [David Smyth](#) Topics: [Insider Trading](#)

Join us as our heroine Jane gives away a little too much information to her husband Bob, who then seeks legal advice about what he's heard. Bob's lawyer Nikhil gives good advice by telling him to keep a lid on it, but then goes on a frolic and...[\(read more\)](#)

[The Insider Trading Cartoon Series, Vol. XI -- Multi-level Tipping](#)

December 6, 2016 - [David Smyth](#) Topics: [Insider Trading](#)

In this Presidential transition season, we bring you a very special episode of the Insider Trading Cartoon Series. [\(read more\)](#)

[Spuds MacKenzie Runs into FCPA/Whistleblower Buzzsaw](#)

October 21, 2016 - [David Smyth](#) Topics: [FCPA](#), [Whistleblowers](#)

Ha. I'm just kidding. I don't think Spuds MacKenzie has been a thing for years. But his former patron, Anheuser-Busch InBev, ran into some FCPA problems last month, and tacked on a whistleblower charge for good measure. Here's what the SEC says...[\(read more\)](#)

[SEC Opens up the Toolbox to File First Stand-alone Whistleblower Retaliation Case](#)

October 20, 2016 - [David Smyth](#) Topics: [Whistleblowers](#)

Welcome back to Whistleblower Week here at Cady Bar the Door . It is a glorious time. Today we discuss In re International Game Technology, Inc. , filed on September 29 th . While it has done this before alongside other charges, here the Commission...[\(read more\)](#)

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