COSMOS
Navigate the Compliance Universe

CEP Magazine - August 2020
Insider trading compliance programs

By Jeffrey M. Kaplan

Jeffrey M. Kaplan (jkaplan@kaplanwalker.com) is a Partner with Kaplan & Walker LLP in Princeton, New Jersey, USA.

Nearly 30 years ago, two young men hatched a brazen scheme: One would seek employment as a paralegal at a large corporate law firm, use that position to obtain inside information about the firm's clients, and give the information to the other young man for trading on both of their respective behalves. The scheme worked well for a while—until they were caught and prosecuted.

This document is only available to members. Please log in or become a member.

Become a Member Login

Copyright © 2024 by Society of Corporate Compliance and Ethics (SCCE) & Health Care Compliance Association (HCCA). No claim to original US Government works. All rights reserved. Usage is governed under this website's Terms of Use.