



**PENHALLOW ASSOCIATES LIMITED**  
A Financial Knowledge Company

**Securities Class Actions Workshop**  
**Classroom: Duration ½ Day, Price: £395**  
**Virtual Learning: Duration 3 Hours, Price: £290**

**Why You Should Attend**

**Class Actions, Antidote to Corporate Greed?**

The recovery of funds that have been lost to investors and institutions, through corporate misrepresentation or other wrongdoings.

Fund Managers remain ultimately responsible for the recovery of all moneys due to their funds; the returns from Securities Class Actions are included in those moneys.

Whether one chooses to make a claim or not, there is still a responsibility to remain compliant and have a process in place to monitor and be aware of the Fund's exposure to such cases.

Every year in securities class actions, settlements are reached worth tens of billions of dollars.

- Less than 50% of institutional investors regularly file claims.
- In a 7 year period over 3.5 billion went unclaimed.
- There are thousands of lines of stock involved in open securities class actions.
- New settlements are being made every week, and the average value per corporate pay-out in 2019 was \$30m.
- We have designed this workshop with the following participant roles in mind; Operational Management, Risk Managers, Compliance, Finance, Treasury and Portfolio Managers in Banks, Asset & Investment Managers, Stockbrokers, Custodians & Pension Funds.

## **Are your clients protected?**

**This workshop will cover the following:**

**The History:** The background to the development of today's Class Actions.

**How Class Actions Work:** A step by step breakdown of the process.

**Criticisms:** The misconceptions. Class Actions in a negative light.

**Advantages:** How some people see Class Actions positively?

**How Class Actions Affect the Investors:** Perception and reality.

**Recent rulings:** How it has changed the Class Action process

**Fiduciary Duty of Care:** What is expected. The changes to come.

**The changing landscape: Growth outside the USA.** The trend.

**Jurisdictional Issues:** New Ideas/Developments

## **Trainer Profile**



**Paul Sherrington** Paul is a founder of Securiclass Information Services Limited, which provides the most comprehensive data available about all equities and instruments involved in Securities Class Actions occurring globally. [www.securiclass.com](http://www.securiclass.com)

Also founder and CEO of Business Tectonics Limited, which has been providing business development, sales and marketing consultancy to service companies in the finance marketplace in the UK and Europe since 1998. Paul has over 35 years' experience in the IT and Finance industries, holding senior executive and Director roles within companies such as ICL, Data Sciences, IBM and ICAM Ltd, selling complex B2B solutions as well as generic services.

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