



**Wednesday, October 21**  
**9:00 am–10:30 am**

## **809 SEC Update**

**Miriam Lefkowitz**  
*General Counsel*  
Shufro, Rose & Co., LLC

**Peter M. Rosenblum**  
*Partner*  
Foley Hoag LLP

**John Saia**  
*Senior Counsel*  
McKesson Corporation

## Faculty Biographies

### **Miriam Lefkowitz**

Miriam Lefkowitz is the general counsel of Shufro, Rose & Co., a dual-registered BD/IA that provides discretionary fee- and commission-based asset management in separately managed accounts to retail clients. She advises the firm on all aspects of securities regulation and compliance. Ms. Lefkowitz is based in New York.

Prior to joining Shufro, she served as general counsel/chief compliance officer, and member of the board of directors of J.B. Hanauer & Co., a full service, retail BD/IA. Prior to going in-house, she served as senior counsel in the Enforcement Division of the Securities & Exchange Commission and practiced law at a firm in Miami.

Ms. Lefkowitz is a frequent speaker on a range of securities and compliance topics. In addition to serving as general counsel to Shufro, Rose, she also advises other financial services firms and law firms on compliance, regulatory and legal matters.

Ms. Lefkowitz graduated from Columbia College and Columbia Law School.

### **Peter M. Rosenblum**

Partner  
Foley Hoag LLP

### **John Saia**

John G. Saia is senior counsel at McKesson Corporation where he specializes in the practice of securities regulation, mergers and acquisitions and corporate governance matters.

Mr. Saia was formerly with the international law firm DLA Piper US LLP. While at DLA Piper, Mr. Saia focused on capital markets and mergers and acquisitions, including counseling public and pre-public companies on the interpretation and application of disclosure and compliance rules under the Federal securities laws. Prior to joining DLA Piper, Mr. Saia served as special counsel in the Division of Corporation Finance at the US Securities and Exchange Commission (SEC). As special counsel, Mr. Saia was actively involved in nearly every aspect of public reporting, including managing the SEC's review of initial public offerings, proxies, mergers, tender offers, going-private transactions, periodic and current reports for compliance with the Federal securities laws.

Mr. Saia received his BA from Santa Clara University and his JD from George Washington University Law School.

## ACC Extras

Supplemental resources available on [www.acc.com](http://www.acc.com)

SEC Update.

Program Material. October 2008

<http://www.acc.com/legalresources/resource.cfm?show=157530>

SEC Document Request List.

Sample Form & Policy. May 2009

<http://www.acc.com/legalresources/resource.cfm?show=241214>

The Decline of the US Capital Markets & SEC Initiatives to Make the U.S.  
More Attractive to Non-U.S. Issuers.

Webcast. September 2009

<http://www.acc.com/education/webcasts/declineoftheuscapitalmarkets.cfm>

Please note, these additional resources are provided by the Association of Corporate  
Counsel and not by the faculty of this session.