

# PREPARING FOR IRS AND SEC SCRUTINY: PROCEDURES AND TRAINING

## Seminar

Hodgson Russ, 140 Pearl St, Buffalo, NY 14202  
April 24, 2018  
9:00 a.m. – 11:00 a.m.

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## What is this?

It is a seminar hosted by your bond lawyers (please keep reading!). As you are probably well aware by now, municipalities and schools have been under increased scrutiny from the federal government. The SEC and the IRS have ramped up their expectations and increased their audit, oversight and enforcement functions. In response, we have initiated a series of programs to help you deal with that.

## A little background:

Starting in 2014, we have offered a series of ongoing workshops on IRS and SEC compliance requirements. We are now offering another morning “in-service” program for our clients in late April. There, we will provide you with training and written procedures for (a) tax-related (IRS) post-issuance compliance and (b) securities-related (SEC) continuing disclosure compliance, and we will be discussing how to best implement those procedures. If you have not already implemented such procedures, this training is important because we will discuss what such procedures are and why we believe they are important. If you have already implemented such procedures, this training will serve as a good refresher (and will demonstrate compliance with such procedures, which state that you will attend training sessions of this type when offered).

## The specifics:

We invite you to join us on the morning of Tuesday, April 24, 2018, at our offices in the Guaranty Building, 140 Pearl Street, Buffalo, NY, 14202. Registration will begin at 8:30 AM. The program will begin at 9:00 AM and will conclude by 11:00 AM (allowing you to get to your offices for a good part of the day). We will be sure to stick to this timetable.

## Attorneys

John Alessi  
Christopher Canada  
A. Joseph Scott III  
Jeffrey Stone  
Marla Waiss

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### **The outcome:**

At the end of the workshop, we will have reviewed with you two detailed sets of written compliance procedures (one on post-issuance tax compliance and the other on continuing disclosure compliance). You will also receive a certificate confirming that you have received formal training regarding those procedures. We believe that this training will put you in the best position for responding when (or if) your organization is audited by the IRS or investigated by the SEC. It is useful to attend these programs on a regular basis, even if you have attended one of our previous workshops. If you still need either type of procedures, we can work with you after the training session to get them into place.

### **How to register:**

We believe this is very important, and we look forward to seeing you at the event. Here is the link that you need to register: [click here](#)

Please contact John Alessi (716.848.1567; [jalessi@hodgsonruss.com](mailto:jalessi@hodgsonruss.com)) Christopher Canada (518.736.2921; [ccanada@hodgsonruss.com](mailto:ccanada@hodgsonruss.com)), Emily Dinsmore (716.848.1729; [edinsmor@hodgsonruss.com](mailto:edinsmor@hodgsonruss.com)), Michael Logan (518.433.2409; [mlogan@hodgsonruss.com](mailto:mlogan@hodgsonruss.com)), A. Joseph Scott III (518.433.2419; [ascott@hodgsonruss.com](mailto:ascott@hodgsonruss.com)), Jeffrey Stone (716.848.1327; [jstone@hodgsonruss.com](mailto:jstone@hodgsonruss.com)), or Marla Waiss (716.848.1203; [mmwaiss@hodgsonruss.com](mailto:mmwaiss@hodgsonruss.com)) with any questions.

CLE and CPE credit requested.

We look forward to seeing you on the morning of April 24, 2018.  
Registration begins at 8:30 a.m.