LexVid Services, Inc., Presents:

Ethical and Professional Responsibility Traps for In-House Counsel

Total: **65 Minutes**

Speakers:
C. Evan Stewart

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In-house lawyers face a myriad of complex ethical challenges. There is often no clear path to solving these ethical dilemmas.

In this program, lawyer and professor C. Evan Stewart will tackle these ethical issues, illustrating how they can arise in practice and what steps in-house counsel can take to avoid violating their ethical duties. Among the topics discussed are:

All topics cover ethics/professional responsibility

- Client confidentiality and liability traps (10 min.)
- Conflicts of interest and risks to in-house counsel (10 min.)
- Ethical issues in multiple representation (10 min.)
- In-house lawyers' whistleblower rights v. confidentiality (10 min.)
- Ethical issues surrounding documents (10 min.)
- Ethical traps with internal investigations (10 min.)
- Multi-jurisdictional ethical issues (5 min.)

Total: 65 minutes (ethics)

Presenter: C. Evan Stewart

Mr. Stewart's practice focuses principally on the financial services industry, where he handles litigation matters for domestic and international clients before federal and state trial and appellate courts, in arbitration forums, as well as before the Judicial Panel on Multidistrict Litigation and the U.S. Supreme Court. He advises clients on a range of

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complex commercial matters, including antitrust, bankruptcy, class action defense, ethics, intellectual property, internal investigations, securities litigation, and tax controversies.

Mr. Stewart was featured by the *New York Law Journal* in the "Top Trials of 2005" for his successful representation of Theodore Sihpol, the first person in U.S. history to be criminally charged for "late trading" mutual funds. More recently, Mr. Stewart successfully represented Gary Prince against the U.S. Securities and Exchange Commission. In May of 2013, after a three week bench trial in federal court, the judge dismissed all six charges of securities fraud against Mr. Prince.

Mr. Stewart previously served twelve years as Executive Vice President and General Counsel for The Nikko Securities Co. International Inc., and as a director of Nikko Financial Services Inc. Additionally, Mr. Stewart served as First Vice President, Associate General Counsel, and Head of Litigation at E.F. Hutton & Company Inc. Since 2003, Mr. Stewart has been tasked by Goldman, Sachs & Co. to, among other things, oversee and litigate all of the disputes arising out of the company's Private Wealth Management Division.

Mr. Stewart is a visiting professor at Cornell University and an adjunct law professor at Fordham Law School. He is a contributing columnist for the *New York Law Journal*, *New York Business Law Journal*, and the *Federal Bar Council Quarterly*, and has published approximately 300 articles on a variety of legal subjects. He is also frequently featured in the national media and regularly speaks across the country on securities, professional responsibility, and complex litigation issues.

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