



SEC Compliance Best Practices: Leading Lawyers on Understanding Disclosure Requirements, Developing Compliance Procedures, and Advising Clients on Reporting Practices (Inside the Minds)

By Multiple Authors

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SEC Compliance Best Practices is an authoritative, insider's perspective on recent Securities and Exchange Commission changes to compliance and disclosure requirements. Featuring partners and chairs from some of the nation's leading law firms, these experts explore the current trends in compliance and disclosure, offer their insight on amendments to SEC regulations, and share their advice for assisting clients in adapting to these new regulations. Illustrating the legal framework for interpreting new compliance and disclosure issues, the authors walk the reader through a variety of new SEC initiatives and provisions that may impact their clients' business models and provide suggestions for assisting companies in their SEC reporting obligations. Additionally, these leaders reveal their tips for tracking and monitoring new rules and trends and helping clients implement effective internal auditing to avoid potential fraud. The different niches represented and the breadth of perspectives presented enable readers to get inside some of the great legal minds of today, as these experienced lawyers offer up their thoughts around the keys to success within this ever-changing area of law.

Inside the Minds provides readers with proven business intelligence from C-Level executives (Chairman, CEO, CFO, CMO, Partner) from the world's most respected companies nationwide, rather than third-party accounts from unknown authors and analysts. Each chapter is comparable to an essay/thought leadership piece and is a future-oriented look at where an industry, profession or topic is headed and the most important issues for the future. Through an exhaustive selection process, each author was hand-picked by the Inside the Minds editorial board to author a chapter for this book.

Chapters Include:

1. Susan D. Resley, Partner, Orrick, Herrington & Sutcliffe LLP - "Should an Executive Establish a Rule 10b5-1 Insider Trading Plan and Should that Plan be Disclosed: Pros, Cons, and Guidelines"
2. Gregg Berman, Partner, Fulbright & Jaworski LLP - "Trends in Compliance and the Lawyer's Role"
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6. Geoffrey T. Chalmers, Esq., Attorney at Law, Law Offices of Geoffrey T. Chalmers, Esq. - "The SEC: Dealing (or Not Dealing) with Trends in the Regulatory Climate"

Appendices Include:

Appendix A: Form of Executive Compensation Disclosure Schedules

Appendix B: SEC Staff Observations in the Review of Executive Compensation Disclosure

Appendix C: NASD Written Supervisory Procedures Review Checklist

Appendix D: Investment Adviser Written Compliance Procedure

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