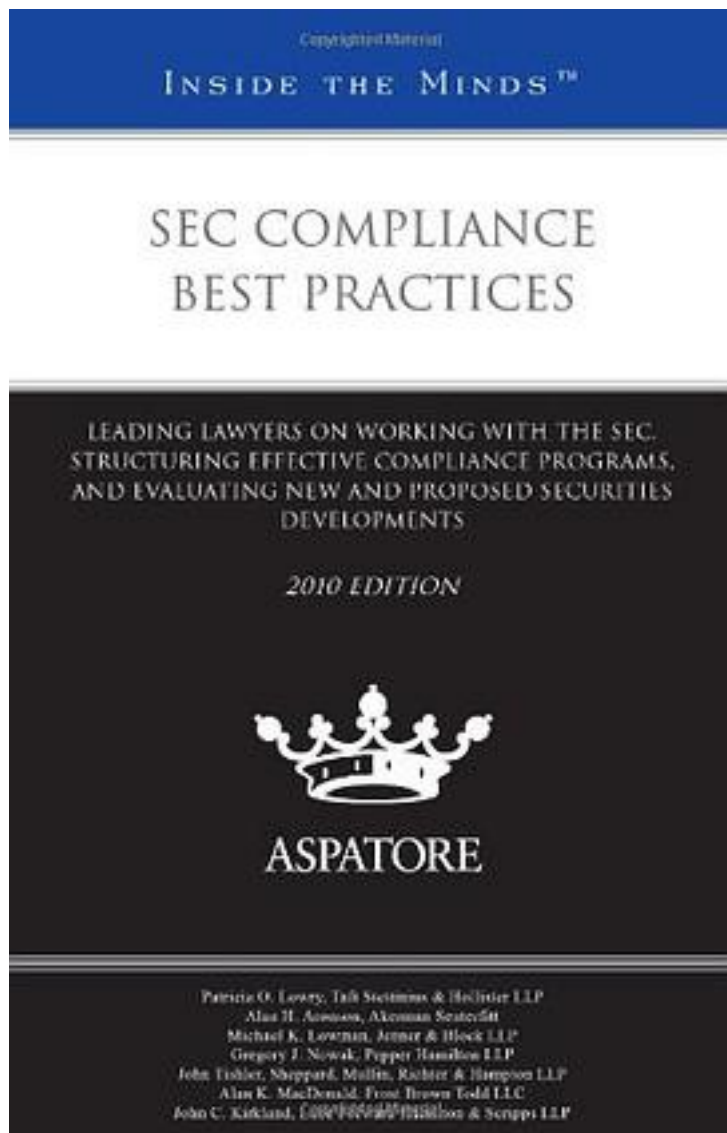# SEC Compliance Best Practices, 2010 Ed.

[SEC Compliance Best Practices, 2010 Ed._下载链接1_](#)

著者:Multiple Authors

出版者:Thomson West

出版时间:2010-03-01

装帧:Paperback

isbn:9780314926722

SEC Compliance Best Practices provides an authoritative, insider's perspective on the latest compliance and governance initiatives and their effect on enforcement. Featuring partners from some of the nation's leading law firms, these experts analyze new legislative developments, proposed SEC reforms, and emerging compliance trends, and the impact these changes have on attorneys, clients, and compliance programs. These top lawyers also discuss the critical issues in today's volatile securities climate, such as executive compensation, Ponzi schemes, control person liability, proxy access rules, and the renewed emphasis on the Sarbanes-Oxley Act. Additionally, these leaders reveal their strategies for interacting with enforcement agencies, understanding the lawyer's role in compliance, and coping with the rapid pace of changing laws. 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 field. Inside the Minds provides readers with proven business intelligence from C-Level executives and lawyers (Chairman, CEO, CFO, CMO, Partner) from the world's most respected companies and firms nationwide. Each chapter is comparable to an essay/thought leadership piece and is a future-oriented look at where an industry, profession, or topic is heading and the most important issues for the future. Each author has been selected based upon their experience and C-level standing within the professional community. Chapters Include: 1. Patricia O. Lowry, Partner, Taft Stettinius & Hollister LLP - "Directors under Fire: Recent and Proposed SEC Regulations That Could Change the 2010 Annual Meeting Landscape"

2. Alan H. Aronson, Shareholder, Akerman Senterfitt - "Fundamental Strategies for Corporate Governance and Regulatory Compliance"

3. Michael K. Lowman, Partner, Jenner & Block LLP - "Recent Enforcement Trends Underscoring the Need for Corporate Compliance"

4. Gregory J. Nowak, Partner, Pepper Hamilton LLP - "Strategies for New SEC Compliance Requirements" 5. John Tishler, Partner, Sheppard, Mullin, Richter & Hampton LLP - "Coping with the Changing World of Corporate Governance and Securities Compliance"

6. Alan K. MacDonald, Member, Frost Brown Todd LLC - "Small Companies: The Less Traveled (and Sometimes Unexpected) Paths to Going Public"

7. John C. Kirkland, Partner, Luce Forward Hamilton & Scripps LLP - "Practical Approaches to Securities Compliance Issues" Appendices Include: Appendix A: Form of 2010 Directors and Officers Questionnaire

Appendix B: Form of Risk Management Committee Charter

Appendix C: ABC Political Contribution Policy

Appendix D: Memo on the Consequences of Acting as an

Unregistered Broker Dealer Appendix E: Corporate Governance and Securities Compliance Checklist

Appendix F: Insider Trading Policy

作者介绍:

目录:

SEC Compliance Best Practices, 2010 Ed._下载链接1_

标签

评论

SEC Compliance Best Practices, 2010 Ed._下载链接1_

书评

SEC Compliance Best Practices, 2010 Ed._下载链接1_