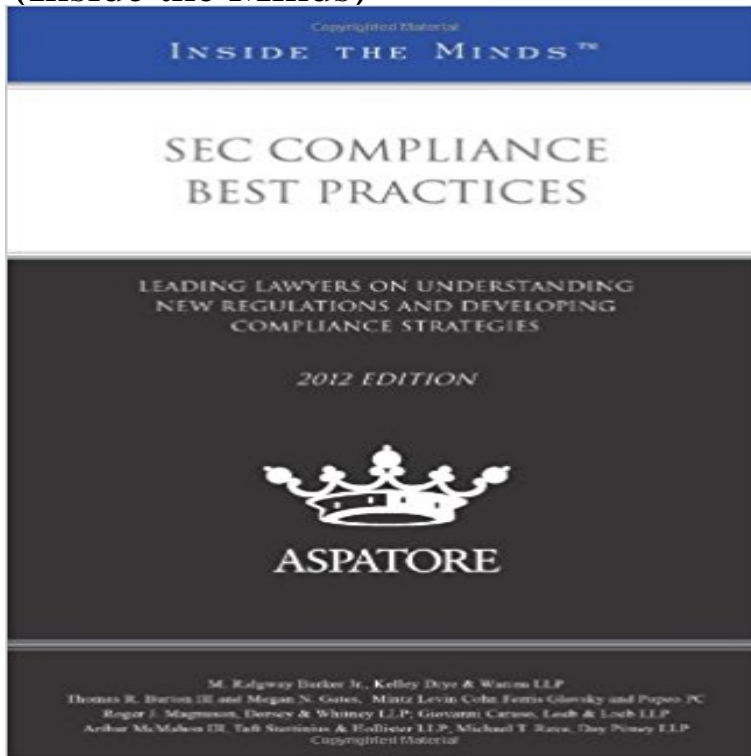


# SEC Compliance Best Practices, 2012 ed.: Leading Lawyers on Understanding New Regulations and Developing Compliance Strategies (Inside the Minds)



SEC Compliance Best Practices provides an authoritative, insiders perspective on ensuring clients understand and comply with SEC regulations. Featuring partners from law firms around the nation, these experts guide the reader through the process of building, maintaining, and updating effective compliance programs. From understanding disclosure guidelines and whistleblower bounties to evaluating proxy access policies, these top lawyers discuss the latest rules and proposals in SEC compliance and offer insights for avoiding investigations. Additionally, these leaders examine the current and future effects of the Foreign Corrupt Practices Act, and suggest proactive ways to respond. 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 navigating this ever-evolving area of law. Inside the Minds provides readers with proven business and legal intelligence from leading C-Level executives and lawyers. Each chapter offers thought leadership and expert analysis on an industry, profession, or topic, providing a future-oriented perspective and proven strategies for success. Each author has been selected based on their experience and C-Level standing within the business and legal communities. Chapters Include: 1. M. Ridgway Barker Jr., Partner and Chair, Corporate Finance and Securities Practice Group, Kelley Drye & Warren LLP - Compliance and Policies in Light of Dodd-Frank 2. Thomas R. Burton III, Member; Founder and Chair, Energy and Clean Technology Practice and Megan N. Gates, Member; Co-Chair, Securities Practice Group, Mintz Levin Cohn Ferris Glovsky and Popeo PC - New SEC Guidance and Regulations for Issuers of Securities 3. Roger J. Magnuson, Partner,

Dorsey & Whitney LLP - The Show and Tell: Demonstrating Compliance Effectiveness to Government Agencies 4. Giovanni Caruso, Partner, Loeb & Loeb LLP - Handling SEC Compliance Issues on Behalf of US and China-Based Clients 5. Arthur McMahon III, Partner, Taft Stettinius & Hollister LLP - FCPA Compliance In the Face of Increasingly Aggressive Prosecution 6. Michael T. Rave, Partner, Day Pitney LLP - Taking a Proactive Stance on SEC Compliance: Tips for Attorneys and Clients Appendices Include: Appendix A: List of Corporate Policies Appendix B: Questions Posed by the SEC on Corporate Compliance Practices Appendix C: Sample Milestone Timeline Appendix D: Summary: Diageo Appendix E: Summary: Bourke

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University of Michigan (JD, 2002) Wesleyan University (BA, Bret practices in the firms litigation section, and has significant experience and employees, in securities litigation and in SEC and internal investigations. and public and private companies on corporate law, corporate compliance, . In The News. **Sec Compliance Best Practices 2016 Ed Leading Lawyers On** Leading Lawyers on Understanding New Regulations and Developing Compliance Strategies (Inside the Minds) at Legal Solutions from Thomson Reuters. **Sec Compliance Best Practices 2016 Ed Leading Lawyers On** Matthew is the chair of the White Collar and Regulatory Enforcement practice. . 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