



Securities Regulation & Corporate Governance

Jackson Kelly's Securities Regulation and Corporate Governance practice area attorneys assist clients in various industries with both public and private securities offerings under the Securities Act of 1933 and represent clients with compliance under the Securities Exchange Act of 1934. Our attorneys work closely with clients to prepare SEC reports and registration statements, proxy statements, annual reports, quarterly reports, other periodic reports, and Section 16 officer and director reporting compliance. The team also represents clients with respect to NYSE and NASDAQ listing standards.

The practice area provides ongoing advice on a broad range of issues, including:

- Regulation FD
- Executive compensation
- Regulation 14A
- Insider trading policies
- Gun-jumping issues
- Earnings releases
- Regulation merger and acquisition issues
- Rule 144 issues
- Section 16 reporting
- Sarbanes-Oxley matters
- No-Action requests
- Private placements
- Dodd-Frank Act
- Jumpstart Our Business Startups (JOBS) Act

Our attorneys also advise our clients as to various corporate governance matters and related disclosures including:

- Board composition
- Committee charter and procedures
- Board and committee responsibilities
- Director independence requirements and issues
- Disclosure controls and procedures
- Director and officer indemnification and insurance issues
- Fiduciary duties in connection with merger and acquisition transactions

- Related party transactions
- Corporate governance documentation