



CORPORATE COMPLIANCE AND GOVERNANCE

For ongoing entities, Conner & Winters regularly provides corporate governance and compliance counsel on a broad range of issues. We support the work of in-house corporate attorneys and management in both small and large entities with issues ranging from contract review to compliance issues. We have extensive experience in providing counsel and practical advice regarding virtually all issues relating to stockholder and director matters, and frequently serve as counsel at board, board committee and stockholder meetings of major public companies to assist with governance and compliance issues. We have represented clients in all aspects of corporate compliance matters, including issues arising under the Dodd-Frank Act, the Sarbanes-Oxley Act, False Claims Act, Foreign Corrupt Practices Act, anti-kickback laws and similar laws.

We provide counsel and assistance on matters such as:

- Development of corporate policies and compliance programs, including codes of conduct and insider trading policies
- Contract negotiation and review of virtually all types
- Compliance with the Sarbanes-Oxley Act
- Compliance with the Dodd-Frank Act
- Preventative actions corporate officers and business management may take to avoid liability and regulatory exposure
- Executive compensation, including preparation of executive and other management compensation agreements
- Preparing officer and director indemnification agreements
- Assisting with executive and key employee terminations
- Document management and retention

ATTORNEYS

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RELATED PRACTICES

Business Formation and Organization
Capital Markets and Securities Offerings
Corporate and Securities

Corporate Compliance and Governance

- Corporate management training
- Corporate audits and disclosures
- Business ethics and related matters
- Conducting outside counsel investigations
- Engagement of experts
- “Whistleblower” investigation and defense
- Board, board committee and stockholder meetings
- Duties, responsibilities and liabilities of directors and officers
- Stock exchange compliance

Mergers & Acquisitions

Securities Regulation
and Compliance

Publications & Events

Department of Treasury Suspends Enforcement of CTA Against Domestic Reporting Entities and U.S. Citizens; New Rules Coming
03.04.2025

Corporate Transparency Act Back in Effect: Updated Deadline of March 21, 2025
02.21.2025

Trump Administration Appeals Current Corporate Transparency Act Stay, Reporting Deadline Likely To Be Extended If Stay Is Lifted
02.07.2025

Fifth Circuit Reverses Course, Reinstates Injunction Against Corporate Transparency Act
12.27.2024

The Fifth Circuit Stays Preliminary Injunction Against Enforcement of the Corporate Transparency Act; FinCEN Extends Deadlines
12.24.2024

Texas Judge Issues Preliminary Injunction Against Corporate Transparency Act
12.04.2024

The Corporate Transparency Act
12.01.2023

Corporate Compliance and Governance

Nuclear Employer Alert: What This Week's NLRB Ruling on Investigation Confidentiality Means for Nuclear Employers

12.19.2019

News

Conner & Winters Elevates Langley, Mizell and White to Partner

01.23.2024

30th Edition of Best Lawyers® Recognizes 67 Attorneys from Conner & Winters

08.18.2023

Conner & Winters Strengthens M&A Practice with Robert White Addition in Dallas

08.08.2023

R. Kevin Redwine Elected First-Ever Managing Partner of Conner & Winters

01.19.2023