



SERVICES

## Securities

Sandberg Phoenix securities attorneys have proven experience helping clients understand federal and state securities laws and stock exchange listing requirements, while also balancing evolving best practices with each client's business goals.

We advise companies and boards of directors in public and private securities matters and corporate governance matters including:

- Securities and Exchange Commission (SEC) disclosure filings, including Forms 10-K, 10-Q and 8-K
- Corporate governance documents, including articles, bylaws, committee charters, policies and trends
- Annual board and committee self-assessments and training
- Investor relations matters, including advising on guidelines of institutional investors and proxy advisory firms
- Fiduciary duties
- Proxy solicitations and shareholder proposal responses
- Section 16 reporting requirements
- Insider trading policies and compliance
- Board and management succession planning
- Start-up/growth phase capital raises
- Venture capital/private equity investments
- Private placement matters, including debt and equity offerings, Regulation D offerings and securities law compliance for accredited and unaccredited investors

We work with numerous industries including:

- Technology
- Insurance
- Financial