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SEC Proposes Compensation Committee Listing Standards and Compensation Consultant Disclosure Requirements as Mandated by the Dodd-Frank Act

Title: How to Prepare for the Upcoming Proxy Season (2nd Annual)
Author(s): Laura D. Richman
Published: 2011

... SEC Proposes Compensation Committee Listing Standards and Compensation Consultant **Disclosure Requirements** as Mandated by the **Dodd-Frank Act** ...
... The SEC has proposed an amendment to Item 407 of Regulation S-K that would integrate the **Dodd-Frank Act disclosure requirements** relating to compensation consultants and conflicts of interest with existing proxy statement compensation consultant disclosure requirements. ...
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Sullivan & Cromwell LLP, Client Publication, Proposed Dodd-Frank Section 943 Rules, SEC Proposes Disclosure Requirements Regarding Representations and Warranties in Asset-Backed Securities Offerings (October 13, 2010)

Title: Financial Products Survey 2011
Author(s): Robert S. Risoleo
Published: 2011

... Sullivan & Cromwell LLP, Client Publication, Proposed **Dodd-Frank** Section 943 Rules, SEC Proposes **Disclosure Requirements** Regarding Representations and Warranties in Asset-Backed Securities Offerings (October 13, 2010) ...
... Submitted by: Robert S. Risoleo Sullivan & Cromwell LLP Copyright © Sullivan & Cromwell LLP 2010 If you find this article helpful, you can learn more about the subject by going to www.pli.edu to view the on demand program or segment for which it was written. October 13, 2010 Proposed **Dodd-Frank** Section 943 Rules SEC Proposes **Disclosure Requirements** ...
... The proposed rules would also require NRSROs to include information regarding representations, warranties and enforcement mechanisms available to investors in an ABS offering in any report accompanying a credit rating issued in connection with such offerings. Finally, the SEC is re-proposing the **disclosure requirements** with respect to repurchase requests in Regulation AB in order to conform the disclosures to those required by Section 943 of the **Dodd-Frank Act**. Background ...
- CHB Chapter

Weil Alert: SEC Disclosure and Corporate Governance: Dodd-Frank Act Update: SEC Proposes Rules Regarding Compensation Committees and Their Advisers

Title: Private Equity Forum (Twelfth Annual)
Author(s): Jeffrey E. Tabak
Published: 2011

... Direct the stock exchanges to require that compensation committees have the authority and discretion to retain or obtain the advice of consultants and other advisers, and that companies provide appropriate funding for these advisers. Amend current disclosure rules regarding the retention of compensation consultants and

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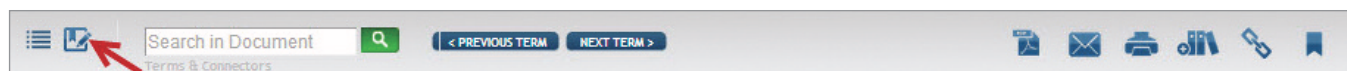
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Disclosure Requirements Regarding Representations and Warranties in Asset-Backed Securities Offerings (October 13, 2010)
Title: Financial Products Survey 2011
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... Submitted by: Robert S. Risoleo Sullivan & Cromwell LLP Copyright © Sullivan & Cromwell LLP 2010 If you find this article helpful, you can learn more about the subject by going to www.pli.edu to view the on demand program or segment for which it was written. October 13, 2010 Proposed **Dodd-Frank** Section 943 Rules SEC Proposes **Disclosure Requirements** ...
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Exchanges may propose additional categories of issuers to be exempt from compensation committee listing standards, subject to the SEC's review. Proposed Rule 10C-1 also exempts listed security futures products and listed standardized options from its requirements. 


§ 22: 4 Compensation Consultant Disclosure and Conflicts of Interest

The SEC has proposed an amendment to Item 407 of Regulation S-K that would integrate the Dodd-Frank Act disclosure requirements relating to compensation consultants and conflicts of interest with existing proxy statement compensation consultant disclosure requirements. The revised disclosure requirement will relate to all companies subject to the SEC's proxy rules, whether or not they are listed and without regard to whether they are controlled companies. 

Amended Item 407 will require disclosure of whether the compensation committee has "retained or obtained" the advice of a compensation consultant during the previous fiscal year. An instruction to this item states that the compensation committee or management will be deemed

===== 587 =====

to have "obtained the advice" of a compensation consultant if such committee or management has requested or received advice from a compensation consultant, regardless of whether there is a formal engagement of the consultant or a client relationship between the compensation consultant and the compensation committee or management or any payment of fees to the consultant for its advice.

Companies will have to disclose whether the compensation consultant's work raised any conflict of interest. If it did, the nature of the conflict of interest and how it is being addressed will have to be described. In determining whether a conflict of interest exists for disclosure purposes, companies should consider the same factors that the Dodd-Frank Act and proposed Rule 10C-1 require compensation committees to consider when hiring compensation consultants. For the purpose of consultant conflict of interest disclosure, there will not be a carve-out for advice on broad-based plans or the provision of non-customized benchmark data. These matters may be considered conflicts of interest that would have to be described in the company's proxy statement. 

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