

# Preparation for 2022 Fiscal Year-End SEC Filings and 2023 Annual Shareholder Meetings

December 07, 2022 | Advisory | By **John P. Condon, Anne L. Bruno, Melanie Ruthrauff Levy, Jacob H. Hupart, Cynthia J. Larose, Breton Leone-Quick, Page R. Hubben**

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- Privacy & Cybersecurity
- Securities & Capital Markets
- Environmental, Social, and Corporate Governance (ESG)

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Public companies initiating the year-end reporting process will need to consider, and in many cases take steps to address, a number of significant developments and issues. To assist companies in this process, Mintz has prepared a comprehensive analysis of regulatory and other developments that affect public companies preparing for their fiscal year-end filings with the SEC and their annual shareholder meetings.

In this memorandum we explore how economic conditions, workforce shifts, climate policies, and cybersecurity issues affect public company disclosure. We also delve into companies' ongoing focus on the qualifications and diversity of their board members, recent SEC rulemaking and its pending climate disclosure requirements, and considerations for implementing officer exculpation for Delaware corporations. As in past years, we provide an update on the policies and practices of the major proxy advisory firms as well as an update on litigation impacting corporate governance and disclosure.

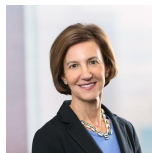
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## Authors



**John Condon**

### **Anne L. Bruno, Member**

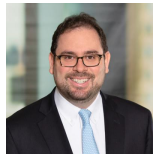


Anne L. Bruno is a Member at Mintz who advises clients ranging from start-ups to multinational public companies on issues related to corporate and employment law, including executive compensation, employee benefits, securities law, and corporate governance. She is also a key member of the firm's multidisciplinary ESG practice, helping corporate boards, companies, and their investors navigate a broad range of environmental, social, and governance considerations.



**Melanie Ruthrauff Levy**, Member

Melanie Ruthrauff Levy is a Mintz attorney who counsels venture and private equity funds and public and private companies in corporate governance, public company reporting, and transactional matters. She represents issuers and financing sources in the life sciences, health care, and tech fields.



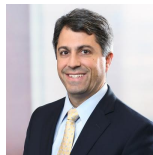
**Jacob H. Hupart**, Member

Jacob H. Hupart is Co-Chair of the ESG Practice Group and a Member in the firm's Litigation Section. He has a multifaceted litigation practice that encompasses complex commercial litigation, securities litigation — including class action claims — as well as white collar criminal defense and regulatory investigations. His clients sit in a variety of industries, including energy, financial services, education, health care, and the media.



**Cynthia J. Larose**, Member / Co-chair, Privacy & Cybersecurity Practice

Cynthia J. Larose is Chair of the firm's Privacy & Cybersecurity Practice, a Certified Information Privacy Professional-US (CIPP-US), and a Certified Information Privacy Professional-Europe (CIPP-E). She works with clients in various industries to develop comprehensive information security programs on the front end, and provides timely counsel when it becomes necessary to respond to a data breach.



**Breton Leone-Quick**, Member

Breton Leone-Quick is an attorney who advises Mintz clients in the financial services industry in litigation matters and regulatory investigations. He leverages his understanding of federal securities laws and Delaware corporate laws to navigate complex crises and disputes.



**Page R. Hubben**, Special Counsel

Page R. Hubben is a Mintz attorney who advises public companies on capital-raising transactions, SEC reporting, and corporate governance. She also counsels public and private companies on a broad range of executive compensation and equity compensation arrangements and programs, including equity and incentive plans and related tax, corporate, and securities law concerns.

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