

Changes Ahead: Rule 10b5-1 Trading Plans and Related Company Disclosure Obligations

FEBRUARY 4, 2022

In mid-December 2021, the SEC proposed [amendments](#) to Rule 10b5-1 under the Securities Exchange Act to add new conditions to the availability of the affirmative defense under the rule. Winston & Strawn attorneys Joseph Adams, David Sakowitz, and Kevin Smith explore these new regulations in our [Benefits Blast blog](#).

Winston & Strawn has extensive experience counseling clients in all aspects of SEC compliance, reporting and filing requirements, securities offerings, compliance with stock exchange listing standards, Sarbanes-Oxley (SOX) compliance, the role of boards of directors, board governance best practices, and other corporate governance issues. An active member of clients' day-to-day securities and corporate governance teams, we help clients meet the changing and increasingly complex corporate governance landscape.

1 Min Read

Authors

[Joe Adams](#)

[David Sakowitz](#)

[Kevin Smith](#)

Related Capabilities

Capital Markets

This entry has been created for information and planning purposes. It is not intended to be, nor should it be substituted for, legal advice, which turns on specific facts.

