



|| Securities Law

Over the years, Foster Swift attorneys have provided counsel to hundreds of entities through initial public offerings, secondary offerings and going-private transactions. Our clients appreciate Foster Swift's thorough knowledge, experience and customized approach to the spectrum of regulation, litigation and enforcement issues. Clients retaining Foster Swift for securities matters include banks as well as small, medium and large public companies representing a wide range of industries including the various participants in the securities markets such as public accounting firms, brokers and investment companies. We put this volume of experience to work so that we can anticipate and proactively address the range of business issues that may arise in any deal.

In representing clients, we regularly:

- Handle all filings registering and selling both registered and exempt transactions on behalf of clients
- Provide guidance and training as it relates to compliance with state and federal securities laws including implementation of good corporate governance practices
- Advise, draft and prepare filings for clients including Forms 10K, 10Q and 8Ks
- Conduct "mock" compliance audits

When working with clients on a securities matter, our first objective is to identify our client goals and timeline. Based on this, we tailor an action plan that is appropriate to accomplish the end-objective quickly and cost-efficiently. We are known to be very accessible and have a reputation for working well with CPAs and other professionals on related securities matters. Clear and timely communication between everyone involved is key to the successful handling of every securities matter.

REPRESENTATIVE MATTERS:

- Lead counsel in connection with the private syndication of a local community bank
- Counsel bank holding company regarding the rewriting, training and implementation of updated audit committee charter
- Assisted client with the deregistration of bank holding company

ATTORNEYS

Shareholder

James F. Anderton, V

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Foster Swift Attorneys Named 2023 Best Lawyers in America®, *Best Lawyers in America*, August 18, 2022

Foster Swift Best Lawyers® 2023 "Ones to Watch", *Best Lawyers in America*, August 18, 2022

Nine Attorneys Listed as Top Lawyers 2020, *Grand Rapids Magazine*, December 11, 2020

44 Foster Swift Attorneys Named to 2016 Best Lawyers in America® Roster, August 21, 2015

Entrepreneur Institute of Mid-Michigan names Attorney Joel C. Farrar "Volunteer of the Year", June 11, 2015
