Principles of Corporate Governance & Compliance for Paralegals

*By*

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**Outline**

**I. Introduction**

* Why governance and compliance matter to paralegals

**II. Corporate Governance Fundamentals**

* Corporate architecture: shareholders, board of directors, officers
* Fiduciary duties: care, loyalty, oversight
* Core instruments and records: charters/bylaws, minutes, resolutions
* Paralegal touchpoints with governance activities

**III. Hallmarks of an Effective Compliance & Ethics Program**

* Key issues: risk assessment, organizational policies, training, monitoring, reporting/investigations, culture
* Paralegal contributions to compliance programs

**IV. Practical Scenarios and Strategies**

* Board and committee meetings
* Records and legal holds
* Investigations and regulatory inquiries
* Discovery of “red flags”

**V. Interactive Case Study Exercise**

**VI. Conclusion and Q&A**