NIRI Twin Cities

Virtual Program Event

Thursday, January 13, 2022 - 11:00 CT/12:00 ET

How the SEC's New Universal Proxy Rules Will Make Companies More Vulnerable to Activist Investors

Are you up to speed on the SEC's new Rule 14a-19 mandating universal proxy cards in contested director elections? Can you explain to your C-Suites and Board of Directors why this new mandate is likely to invite more shareholder activism and threatened proxy contests for board seats?

Do you know how these changes . . .

REGISTER NOW to find out why!

- Impact your 2022 proxy statement disclosure?
- Impact more than just contested director elections?
- Allow shareholders to vote for directors by proxy the same as they can in person?
- Provide activist investors with more leverage?
- Could be a "game-changer" for shareholder activism?



Keith Gottfried, CEO - Gottfried Shareholder Advisory LLC

Keith is the founder and CEO of Gottfried Shareholder Advisory LLC, a boutique strategic advisory/consulting firm focused on advising public companies, the C-suite, and boards on shareholder activism preparedness and defense. Keith is a veteran of numerous contested shareholder meetings and, over a career of close to 30 years, has advised numerous companies in connection with high-profile proxy contests, special meeting demands, consent solicitations, and withhold vote/vote no campaigns.



Tom Ball, SVP - Alliance Advisors

Tom is a Senior Vice President at Alliance Advisors and a recognized expert in the proxy solicitation business with extensive experience in corporate control transactions and corporate governance. Specialist in activism and contested situations, mergers and acquisitions, corporate governance, proxy solicitation, REITs, SPACs, rights offerings, equity and debt tender offers and complicated transactions requiring shareholder action.



Charles (Chip) Pasfield, CVP - Broadridge

Chip is currently Vice President of Client Services for Broadridge Financial Solutions. He has 41 years of experience in the securities industry and has held positions managing various client service and operational areas including: Corporate proxy tabulation, client service and operational support for Contest, Consent and ADR processing, global operations, corporate actions processing and Master Limited partnership reporting.

FREE to all NIRI Members

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