

# Executive Compensation, Claw Backs, and Other Compensation Concerns

September 2023



## Panel



**PATRICK K. CRAINE**

Chief Legal &  
Administrative Officer  
Golfport Energy



**BROOKE HOPKINS**

Partner and Managing  
Director  
AlixPartners



**VANESSA SALINAS  
BECKSTROM**

Investigations &  
Forensics Partner  
PwC



**SARAH S. MALLE**

Assistant Director  
U.S. Securities and  
Exchange Commission  
- Fort Worth, TX



# Agenda

1

## Dodd Frank Clawback Requirement

2

## SEC Rule

- Interpretative Issues
- Unintended Consequences

3

## NYSE/Nasdaq Requirements

- Compensation Committee Oversight
- Role

4

## Previous SEC Enforcement

- Clawbacks
- Perquisites

5

## SEC Focus Going Forward

6

## DOJ Pilot Program



Find the full text of this and thousands of other resources from leading experts in dozens of legal practice areas in the [UT Law CLE eLibrary \(utcle.org/elibrary\)](https://utcle.org/elibrary)

## Title search: Executive Compensation, Claw Backs, and Other Compensation Concerns

Also available as part of the eCourse

[2023 Government Enforcement eConference](#)

First appeared as part of the conference materials for the  
9<sup>th</sup> Annual Government Enforcement Institute session

"Executive Compensation, Claw Backs, and Other Compensation Concerns"