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Key Principles in Securities Law Compliance

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Rakesh Gopalan

Rakesh Gopalan, a partner in Troutman Pepper Locke's Corporate Practice Group, was quoted in the November 12, 2025 *Financial Poise* article, "Key Principles in Securities Law Compliance." The article was republished in the November 12, 2025 *National Law Journal*.

> Independence remains a cornerstone of securities law compliance and corporate governance. Rakesh Gopalan of Troutman Pepper Locke notes that the core governance and independence requirements come from the stock exchanges, rather than the SEC itself. The New York Stock Exchange (NYSE) and NASDAQ impose distinct, but similar, independence requirements. These include limits on employment relationships, compensation arrangements, and familial ties that might compromise objective oversight. Audit and compensation committees face the strictest independence standards, as their work directly affects financial reporting and executive pay.

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