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Securities Attorney Laura Anthony;
Founding Partner, Legal & Compliance, LLC



Going Public Attorney Laura Anthony is the founding partner of Legal & Compliance, LLC, a national corporate, securities and business transaction law firm. For the past 20 years Ms. Anthony has focused her law practice on small and mid-cap private and public companies, the OTC market, going public transactions, mergers and acquisitions, private placement and corporate finance transactions, Exchange Act and other regulatory reporting requirements, FINRA and DTC requirements, state and federal securities laws, crowdfunding, general corporate law and complex business transactions.



Ms. Anthony and the Legal & Compliance team have represented buyers, sellers, underwriters, placement agents, investors, and shareholders in mergers, acquisitions and corporate finance transactions valued in excess of \$1 billion. Ms. Anthony has represented in excess of 100 corporate vehicles and private entities in reverse merger, and initial public offering and direct public offering transactions.

Securities attorney Laura Anthony and her experienced legal team provides ongoing corporate counsel to small and mid-size private companies, OTC and exchange traded issuers as well as private companies going public on the NASDAQ, NYSE MKT or over-the-counter market, such as the OTCQB and OTCQX. For nearly two decades Legal & Compliance, LLC has served clients providing fast, personalized, cutting-edge legal service.

The firm's reputation and relationships provide invaluable resources to clients including introductions to investment bankers, broker dealers, institutional investors and other strategic alliances. The firm's focus includes, but is not limited to, compliance with the

Securities Act of 1933 offer sale and registration requirements, including private placement transactions under Regulation D and Regulation S and PIPE Transactions as well as registration statements on Forms S-1, S-8 and S-4; compliance with the reporting requirements of the Securities Exchange Act of 1934, including registration on Form 10, reporting on Forms 10-Q, 10-K and 8-K, and 14C Information and 14A Proxy Statements; Regulation A/A+ offerings; all forms of going public transactions; mergers and acquisitions including both reverse mergers and forward mergers, applications to and compliance with the corporate governance requirements of securities exchanges including NASDAQ and NYSE MKT; crowdfunding; corporate; and general contract and business transactions.

Moreover, Ms. Anthony and her firm represents both target and acquiring companies in reverse mergers and forward mergers, including the preparation of transaction documents such as merger agreements, share exchange agreements, stock purchase agreements, asset purchase agreements and reorganization agreements. Ms. Anthony's legal team prepares the necessary documentation and assists in completing the requirements of federal and state securities laws and SROs such as FINRA and DTC for 15c2-11 applications, corporate name changes, reverse and forward splits and changes of domicile.

Ms. Anthony is the creator and author of SecuritiesLawBlog.com, the OTC Market's top source for industry news and a staple for news and regulatory developments in the small and mid-cap marketplace. She is also the producer and host of LawCast.com, the Securities Law Network.

Prior to founding Legal & Compliance, LLC, Ms. Anthony served as Chief Legal Counsel for a national investment banking firm and NASDAQ broker dealer with over 200 employees. Ms. Anthony headed the firm's legal and compliance department and coordinated all legal work for the firm including all aspects of FINRA and SEC regulatory compliance, and public and private corporate finance transactions.

Ms. Anthony sits on the board of the Florida Crowdfinance Association. Ms. Anthony is a member of various professional organizations including the Crowdfunding Professional Association (CfPA), Palm Beach County Bar Association, the Florida Bar Association, the American Bar Association and the ABA committee on Federal Securities Regulations.

She is a supporter of community and charities working with Cystic Fibrosis Foundation Arthur's Jam event committee; the Society of the Four Arts Contemporaries, Young Friends of the Norton Museum of Art, Palm Beach County Zoo Society, Kravis Center for the Performing Arts. She currently resides in West Palm Beach with her husband and daughter.

Ms. Anthony is an honors graduate from Florida State University College of Law and has been practicing law since 1993.

Contact Legal & Compliance LLC. Inquiries of a technical nature are always encouraged.

Follow Ms. Anthony on Facebook, LinkedIn, YouTube, Google+, Pinterest and Twitter.

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