

# Summary of Contents

## Volume 1

- Chapter 1. “Jurobics”: A System for Conducting the Legal Compliance Audit
- Chapter 2. Assessment of the Client’s Legal Health
  - Appendix 2A. Conflicts of Interest Policy (All Employees)
  - Appendix 2B. Conflicts of Interest Policy (Non-Employee Directors)
  - Appendix 2C. Code of Business Conduct
  - Appendix 2D. Ethics Charter
- Chapter 3. Contract Formation, Performance and Management
  - Appendix 3A. Contract Formation and Administration Checklist
  - Appendix 3B. Contract Review Summary
  - Appendix 3C. Policies and Procedures for Negotiating and Entering into Contracts or Leases
  - Appendix 3D. Procedures for Review and Approval of Proposed Contracts
  - Appendix 3E. Memorandum to Officers, Managers and Employees Regarding Contract Review and Approval Procedures
  - Appendix 3F. Letter Agreement
  - Appendix 3G. Executive Summary for Clients Regarding Contract Management
- Chapter 4. Selecting a Form of Business Organization—General Considerations
  - Appendix 4A. New Corporation Questionnaire
  - Appendix 4B. New Partnership Questionnaire
  - Appendix 4C. New Limited Liability Company Questionnaire
  - Appendix 4D. New Limited Partnership Questionnaire
  - Appendix 4E. Sample General Partnership Agreement
  - Appendix 4F. Sample Limited Partnership Agreement
  - Appendix 4G. Manager-Managed Limited Liability Company Operating Agreement
  - Appendix 4H. Member-Managed Limited Liability Company Operating Agreement
  - Appendix 4I. Articles of Organization for Limited Liability Company
  - Appendix 4J. Agreement to Create Business Trust
- Chapter 5. Selecting a Form of Business Organization—Specific Tax Considerations
- Chapter 6. Buying and Selling a Business

- Appendix 6A. General Buy-Sell Agreement in Close Corporation
- Appendix 6B. Seller Questionnaire—Considerations before Sale to Buyer
- Appendix 6C. Sale of Business Checklist
- Appendix 6D. Purchaser’s general due diligence information request
- Appendix 6E. Legal Due Diligence Checklist
- Appendix 6F. Checklist for Transaction Management and Information
- Chapter 7. Franchising
  - Appendix 7A. Drafting a franchise agreement checklist
  - Appendix 7B. Matters that must be disclosed to prospective franchisee by Federal Trade Commission rule (16 C.F.R. § 436.1(a)(1) to (20)) checklist
  - Appendix 7C. Franchise Offering Questionnaire
  - Appendix 7D. Questionnaire for Franchisor’s Officers, Directors and Key Personnel
  - Appendix 7E. NASAA 2008 Franchise Registration and Disclosure Guidelines
  - Appendix 7F. Application for Franchise: Personal and Financial Profile
  - Appendix 7G. Franchise Agreement
- Chapter 8. Business Housekeeping
  - Appendix 8A. Records Retention Policy
  - Appendix 8B. Code of legal and ethical conduct regarding records retention
- Chapter 9. Labor Relations and Employment Law
- Chapter 10. Sales
  - Appendix 10A. Basic Sale of Goods Contract
- Chapter 11. Advertising
- Chapter 12. Warranties
  - Appendix 12A. Statement of Product Limited Warranty
  - Appendix 12B. Full Warranty Under Magnuson-Moss Warranty Act—General Form
  - Appendix 12C. Multiple Warranty under Magnuson-Moss Warranty Act—Part Full and Part Limited Warranty—Washing Machine
- Chapter 13. Borrowing Money
  - Appendix 13A. Simple Promissory Note
  - Appendix 13B. Secured Promissory Note with Guaranty
  - Appendix 13C. Loan Agreement
- Chapter 14. Insurance
  - Appendix 14A. Insurance and indemnity agreement—By supplier
- Chapter 15. Professional Service Corporations

SUMMARY OF CONTENTS

- Appendix 15A. Sample Articles of Incorporation for Professional Corporation
- Appendix 15B. Shareholder Agreement for Professional Corporation
- Chapter 16. Doing Business in the U.S.: Regulation of Inbound Investment
- Chapter 17. Building and Managing a Global Law and Compliance Program

**Appendices**

- Appendix 17A. Management and client briefing on compliance procedures for Department of Commerce export control laws: Executive Summary

**Volume 2**

- Chapter 18. Real Estate—Mechanics and Form of the Transaction
  - Appendix 18A. Real Estate Sales Agreement (Simple)
  - Appendix 18B. Real Estate Sales Agreement (Detailed)
  - Appendix 18C. Sample Lease Form
  - Appendix 18D. Sample Letter of Intent for Purchase and Sale of Real Property
  - Appendix 18E. Option Agreement
- Chapter 19. Security Interests in Real Estate
  - Appendix 19A. Sample Mortgage
  - Appendix 19B. Deed of Trust
  - Appendix 19C. Installment Land Contract (Simple)
  - Appendix 19D. Installment Sale Agreement (Detailed)
- Chapter 20. Securities
  - Appendix 20A. Directors', Officers' and Principal Shareholders' Questionnaire
  - Appendix 20B. Client Compliance Memorandum for Private Offering
  - Appendix 20C. Insider Trading Policy Statement
  - Appendix 20D. Insider Trading Policy—CEO Cover Letter
  - Appendix 20E. Insider Trading Policy—Insider's Certification
  - Appendix 20F. Reporting Policy for Directors and Officers
  - Appendix 20G. Limited Power of Attorney for Section 16 Reporting Obligations
  - Appendix 20H. Insider Trading Report Form
  - Appendix 20I. Department of Labor Model Pension Blackout Notice
- Chapter 21. Antitrust Compliance
  - Appendix 21A. Antitrust Laws (Selected Portions)
  - Appendix 21B. Description of Antitrust Laws
  - Appendix 21C. General Statement of Antitrust Policy

- Appendix 21D. Antitrust compliance audit—Document request
- Appendix 21E. Antitrust Compliance Audit—Questionnaire
- Appendix 21F. Interview worksheet for antitrust compliance audit
- Appendix 21G. Checklist for antitrust analysis of proposed joint venture
- Chapter 22. Unfair Competition
  - Appendix 22A. Commercial Bribery Policy
- Chapter 23. Patents—General Information and Company Procedures
  - Appendix 23A. Sample Patents
- Chapter 24. Patent-Related Problems Encountered by the General Attorney
  - Appendix 24A. Patent Licensing Agreement
- Chapter 25. Trademarks
  - Appendix 25A. Practice Checklist: Licensing or Franchising Agreements
  - Appendix 25B. Assignment of Trademark
- Chapter 26. Trade Secrets and Confidential Information
  - Appendix 26A. Employee confidentiality and innovations assignment agreement
  - Appendix 26B. Short-Form Nondisclosure Agreement
  - Appendix 26C. Statement of Trade Secret Security Program
  - Appendix 26D. Instructions for Preparing an Intellectual Property Compliance Manual
- Chapter 27. Copyrights
  - Appendix 27A. Assignment of Copyright
- Chapter 28. Product Liability
  - Appendix 28A. Corporate product safety policy
  - Appendix 28B. Corporate product safety committee policy and procedures
- Chapter 29. Computer Software Agreements
  - Appendix 29A. Software License Agreement
  - Appendix 29B. Software Development Agreement
  - Appendix 29C. Software procurement and use policy
  - Appendix 29D. Policy for purchasing or licensing software
- Chapter 30. Environmental Law
  - Appendix 30A. Secured Creditors Environmental Indemnity Agreement
  - Appendix 30B. Environmental, Health and Safety Committee Charter
  - Appendix 30C. Environmental Compliance Plan
  - Appendix 30D. Green Business Handbook
- Chapter 31. Privacy and Data Security

SUMMARY OF CONTENTS

Appendix 31A. Best Practices for development and administration of  
privacy programs

**Index**