



Edwin J. Broecker

Partner

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Industries

Manufacturing

Finance

Multifamily Housing

Supply Chain

Practice Areas

Corporate Law

Acquisitions &
Divestitures

Closely Held Business
Transactions

Health Care

International Services

Mergers & Acquisitions

Outside General Counsel
Services

Private Equity & Venture

Trade & Foreign Law

Bar Memberships

Indiana

Colorado

New York

Ed counsels businesses in transitional situations. He balances business results and mitigation of legal risks, concentrating his practice on helping clients with asset monetization, business expansion, mergers and acquisitions, and capital transactions. Ed has a great depth of experience in corporate governance matters for public and private companies. Ed has a particular background with corporate compliance programs, including their creation and improvement, by providing training, counseling, assessments and investigations, involving programs targeted at international trade and anti-corruption.

Ed's experience also includes supply chain and commercial agreements, software licenses, finance, and equipment leases. He represents a broad array of national and international clients with concentration in the fields of advanced manufacturing, IT and life sciences, sales and distribution and hospitality and gaming industries.

Ed's Relevant Experience

Legal Work Highlights

Mergers & acquisitions involving privately-held entities (buyer and seller).

Corporate compliance program development, training, assessment and investigations.

Corporate and board governance matters.

Supply chain and commercial agreements.

Mergers & Acquisitions Work Highlights

Sale of contrast media company to large public health care company.

Representation of public company in corporate venturing transactions and subsequent governance matters.

Acquisition of rubber company by U.S. subsidiary of a Chinese publicly traded company.

Platform acquisition and subsequent roll-up transaction for one of the largest distributors of fluid power products in the country.

Acquisition and redevelopment of resort complex including two hotels, casino and championship golf courses.

Comprehensive review and assessment of risks in 33 global sale agreements for a manufacturer and recommendation of risk mitigation.

Dozens of private company asset purchase transactions.

Compliance/Governance Work Highlights

Advising director of public company regarding obligations.

Advising independent directors of public company in connection with a conflict transaction.

Implementation of compliance programs for clients in the health care and manufacturing industries.

Creation of a government contracting compliance program for health care claims administrator.

Numerous risk assessments regarding trade and export control restrictions.

International investigation regarding diversion of funds resulting from phishing email.

Investigation regarding allegations of financial statement misrepresentations for U.S. subsidiary of Japanese public company.

Investigation regarding allegation of products diverted to embargoed country.

Investigation regarding employee embezzlement for large privately held company.

Other Info About Ed

Education

Indiana University, McKinney School of Law, J.D., 1991, *summa cum laude*

Wabash College, B.A., 1988

LPM Institute, *Fundamental Skills of Legal Project Management*, Certificate, August 2023

Clerkships

Southern District of Indiana, Sarah Evans Barker

Recognition

Legal 500 US City Elite – Indianapolis, Corporate and M&A, 2025–2026

Certified Compliance and Ethics Professional (CCEP)

The Best Lawyers in America®, Corporate, 2014–2027; Mergers and Acquisitions, 2025–2027; Business Organization (including LLCs and Partnerships), 2026–2027

40 Under 40, Indianapolis Business Journal (2005)

Who's Who in Technology, Indianapolis Business Journal (2002)

Selected for inclusion in *Indiana Super Lawyers*®, 2005–2007, 2014–2015, 2018–2022

Professional Affiliations

American Bar Association, Business Law Section

Chairman of the Corporate Compliance Subcommittee

Participant in “Short Form Model Acquisitions Agreement” taskforce

Contributor for Indiana in “Multi-Jurisdictional Survey of Governance of Financially Distressed Entities”

Contributor to Working Group to Draft Human Rights Protections in Supply Contracts

Indiana State Bar Association

Indianapolis Bar Association

Society of Corporate Compliance and Ethics

Business Ethics Indiana, Member

Civic Activities

American Bar Association, Business Law Section– Chairman of the Business, Investigations and Corporate Compliance Committee, 2022–2023

Connected By 25 (now Foster Success), Board Member and Past President, 2016–2020

Association for Corporate Group, Indianapolis Chapter Member, 2017 to present

Society of Corporate Compliance and Ethics, Member, 2017 to present

Business Ethics Indiana, Founding Member, 2021 to present

Presentations

October 2019: 2019 Bloomberg Law In-house East Conference: co-panelist on “The Investigations Team: Skills and Talent”, in New York

September 2019: Health Care Compliance Association: co-panelist for “Whistleblower Case Study”, in Indianapolis

September 2019: SCCE 18th Annual Compliance and Ethics Institute: co-led a panel about “Same but Different: How to Effectively Manage Your Third Party Corruption Risks Globally”, in Washington,

DC

August 2019: Bloomberg Law: co-led a webinar on “Internal Investigations” for 300 attendees

February 2019: Loyola University Chicago School of Law Compliance, Ethics & Enterprise Risk Management: A Dialogue Symposium: co-led a panel about “What Boards Need to Know From Compliance Officers and Risk Officers”, in Chicago

January 2018: Risk and Compliance Magazine Roundtable “Impact of Automation on Compliance Programmes and Systems”

June 2017: Ethisphere: 5th Annual Latin America Ethics Summit: one of the Keynote Speakers on “Challenges in Latin America Compliance: Risk vs. Reward”, in Miami

March 2017: Organisation for Economic Co-operation and Development (OECD): 2017 Integrity Forum, “Offsets in Public Sector Procurement: Tools for Economic Development or Avenues for Corruption?” (one of the 25 winning papers), in Paris

June 2016: Ethisphere: 4th Annual Latin America Ethics Summit: “Due Diligence Concerns during Merger and Acquisitions”, in Sao Paulo

December 2015: National Business Institute Seminar Speaker: Handling the Sale of a Business, in Indianapolis

October 2015: American Society of International Law: Inaugural Anti-Corruption Workshop, “Evolution of Anti-Corruption Statutes in Latin America”, at the Wharton School of Business, Philadelphia

Major Publications

September 2019: co-authored chapter “Labor and Supply Chain Practices”, for the American Bar Association’s The Lawyer’s Corporate Social Responsibility Deskbook Practical Guidance for Corporate Counsel and Law Firms

June 2019: co-authored the law review article “The Business Case for Lawyers to Advocate for Corporate Supply Chains Free of Labor Trafficking and Child Labor”, for the 2019 American University Law

Review

March 2017: The FCPA Report: “No Good Deed Goes Unpunished? Possible Unintended Consequences of Enforcing Supply Chain Transparency”

September 2015: The Wall Street Journal Morning Risk Report: “For M&A Risks, Add Cyber to Bribery,” mentioning “Importance of Risk Management Due Diligence in M&A Transactions”

Featured Articles

[2020 Mid-Year Anti-Corruption Update](#)

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