

I Fund Regulatory & Compliance

Proactive regulatory and compliance advice is core to our client approach. By immersing ourselves in the day-to-day operations of our clients' businesses, we provide ongoing, actionable, and effective compliance solutions. We are in the trenches with the GCs, CCOs, COOs, and CFOs, making their priorities our priorities.

We firmly believe that careful planning can avert potential problems that could distract our clients from managing their businesses, or even lead to regulatory or enforcement action.

We anticipate changes in regulatory focus and provide real-time, practical advice and guidance. When necessary, we also work closely with our enforcement defense team, including a number of former federal prosecutors, to address potential issues before they become real problems, mitigate impact, and provide successful outcomes.

Services include:

- Investment advisor and CPO/CTA registrations
- Compliance programs and policies
- Mock examinations
- Securities advice
- Information evaluations and restricted lists
- Trading and operational matters
- Advertising/promotional materials
- Section 13 and Section 16 reporting
- AML/KYC compliance

HONORS & AWARDS

> **The Legal 500 - USA (2012 and 2017)**

Recognized in the area of Investment Fund Formation and Management – Alternative/Hedge Funds