Katten

FIRM EVENT



SEC Update: Regulatory and Enforcement Developments for Asset Managers

Presented by Katten

June 22, 2023

Katten will present "SEC Update: Regulatory and Enforcement Developments for Asset Managers" at 4:00 p.m. (ET) on Thursday, June 22. Financial Markets and Funds partners David Dickstein, Christian Hennion and Richard Marshall, and counsel Adam Bolter; Litigation partner Peter Wilson; and Securities Litigation partner Danette Edwards will present two panel discussions in a hybrid format, both in Katten's New York office and virtually via Zoom.

The first panel will explore recent SEC regulatory developments and key focus areas for asset managers, covering:

- New Form PF requirements
- Marketing rule open issues
- Say-on-Pay requirements
- FinCEN Beneficial Owner Reporting requirements
- Proposed private fund reforms

The second panel will provide an SEC enforcement update for asset managers, with speakers discussing:

- Trends regarding volume of cases, the whistleblower program and penalties
- Key cases involving insider trading, fees and expenses, the WhatsApp sweep, and greenwashing
- Inspection priorities for advertising, private funds, fiduciary duty and ESG

For more information, contact Mary Nardi.

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