



Regulatory Developments for Asset Managers and Broker-Dealers

Presented by Katten

July 10, 2024

Katten's Financial Markets and Funds attorneys will present the "Regulatory Developments for Asset Managers and Broker-Dealers" webinar at 11:00 a.m. (ET) on Wednesday, July 10. The team will discuss recent developments and key focus areas for asset managers and broker-dealers.

Topics will include:

- Proposed Anti-Money Laundering Rules for Investment Advisers
- New Cybersecurity Rules for Investment Advisers and Broker-Dealers
- FINRA's Post-COVID Classification of Remote Workplaces and Internal Inspection Requirements
- Court Challenge Updates

[Register for the "Regulatory Developments for Asset Managers and Broker-Dealers" webinar.](#)

To learn more, contact [Rachel Hernandez](#).

CONTACTS

For more information, contact your Katten attorney or any of the following attorneys.



Wayne M. Aaron

+1.212.940.6441

wayne.aaron@katten.com



Adam Bolter

+1.312.902.5204

adam.bolter@katten.com



James M. Brady

+1.312.902.5362

james.brady@katten.com



David Y. Dickstein

+1.212.940.8506

david.dickstein@katten.com



Christian B. Hennion

+1.312.902.5521

christian.hennion@katten.com



Susan Light

+1.212.940.8599

susan.light@katten.com



Richard D. Marshall

+1.212.940.8765

richard.marshall@katten.com

Attorney advertising. Published as a source of information only. The material contained herein is not to be construed as legal advice or opinion.

©2025 Katten Muchin Rosenman LLP.

All rights reserved. Katten refers to Katten Muchin Rosenman LLP and the affiliated partnership as explained at katten.com/disclaimer.