Katten

SEMINAR

Investment Adviser Compliance Forum: Annual Form ADV Amendments and Related Regulatory Issues

Presented by Katten Muchin Rosenman LLP

February 6, 2014

Financial Services attorneys Jack Governale, David Dickstein and Christian Hennion will present Session I of this two-part panel discussion at 5:15 p.m. on Thursday, February 6. “Portfolio Management Issues” will address the following topics:

- compliance with investment guidelines and suitability;
- side-by-side management, allocations and personal trading;
- Regulation M Rule 105; and
- proxy voting.

Session II, “Trading Issues,” will take place on Thursday, February 20.

CONTACTS

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



David Y. Dickstein
+1.212.940.8506
david.dickstein@katten.com



Christian B. Hennion
+1.312.902.5521
christian.hennion@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.

©2026 Katten Muchin Rosenman LLP.

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