

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.

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