

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

Presented by Katten Muchin Rosenman LLP

February 20, 2014

Financial Services attorneys Jack Governale, David Dickstein and Christian Hennion will present Session II of this two-part panel discussion at 5:15 p.m. on Thursday, February 20. “Trading Issues” will address the following topics:

- best execution;
- soft dollars and directed brokerage;
- principal trades, agency-cross trades and cross trades; and
- trade errors.

Session I, [“Portfolio Management Issues,”](#) will take place on Thursday, February 6.

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