

## 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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### CONTACTS

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