

## Insider Trading and Advisory Contracts: Requirements for Investment Advisers

**Presented by National Regulatory Services**

October 27, 2015

Financial Services partner David Dickstein will participate in the webinar, "Insider Trading and Advisory Contracts: Requirements for Investment Advisers" on Tuesday, October 27 at 1:00 p.m. (ET). The webinar will address the following topics:

- elements of an effective insider trading policy for helping to detect and prevent the misuse of material nonpublic information;
- the requirements of SEC Rule 204A-1: Investment Adviser Codes of Ethics;
- code of ethics processes for effectively preventing and detecting insider trading and monitoring personal securities trading by adviser personnel;
- methods for increasing awareness of industry standards for client agreements; and
- tips for using practice points to help improve firm advisory agreements.

For more information, click [here](#).

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### CONTACTS

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



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