

Investment Advisers

Bressler represents U.S. registered investment advisers who operate in the U.S. and around the world. Our clients include boutique advisory firms, family offices, mid-size advisers and the world's largest financial institutions. We offer comprehensive advice on all business and legal issues that impact investment advisers. Our attorneys guide investment advisers through the complexities associated with formation, registration and compliance. We are also well-versed in the unique challenges associated with providing advisory services cross-border.

We offer customized solutions tailored to each investment adviser's business that focus on avoiding and mitigating litigation and regulatory risk. Additionally, we offer cost-effective general counsel services packages to small and mid-sized investment advisers.

We represent investment advisers during litigation, and before government regulators during examinations, inquiries, investigations and enforcement proceedings.

Our specific areas of expertise include:

Formation and Registration

- Advice on type of legal entity (LLC, S corp., etc.) and formation
- Applications for registration as state or SEC investment adviser including Form ADV Part 1 and Part 2 and Form CRS
- Applications for registration as state or SEC investment adviser representative
- Independent contractor, employee and other agreements
- Advisory agreements and sub-advisory agreements
- Solicitation agreements
- Vendor selection and agreements
- Customized compliance programs and manuals tailored to the unique needs and risks of an investment adviser's business

Compliance

- Form ADV and CRS amendments

PRACTICE CONTACT

Mark D. Knoll

PROFESSIONALS

Logan S. Fisher

David I. Hantman

Mark D. Knoll

Daniel R. Korb, Jr.

Leonel Peraza, Jr.

Andrea Greene Wells

RELATED AREAS

Financial Institutions

Financial Institutions Internal Investigations

Financial Institutions Litigation and Arbitration

Retail Client Relationships

Senior & Vulnerable Investor Group

RELATED INDUSTRIES

Financial Services

- Annual review process and compliance manual updates
- Marketing material review, including social media
- Best practice anti-money laundering and sanctions programs
- Cybersecurity
- Business Continuity Plans
- Succession Plans
- Risk Assessments
- Human Resources and employee issues

Litigation

- Vendor disputes
- Client litigation and arbitration
- Employment litigation

Regulatory

- Regulatory examinations
- Regulatory inquiries and investigations
- Enforcement actions

News & Alerts

February 1, 2021 Deadline: Mandatory Registration for New York Investment Advisers
Alert, *Investment Advisers Law Alert*, 01.20.2021

The SEC Adopts a Modernized Marketing Rule and the Testimonial Prohibition is No Longer
Alert, *Investment Advisers Law Alert*, 12.28.2020

Events

Joelle Simms to Speak at IAA Virtual Conference
Speaking Engagement, 03.05.2021

Articles & Publications

Advisers Are Not Protecting Their Main Asset - Their Clients
Article, 02.16.2021