

Winston's Investment Management Team Releases Investment Management Regulatory Calendar and Annual Requirements

FEBRUARY 8, 2020

Winston's Investment Management team has released its annual [Investment Management Regulatory Calendar and Annual Requirements](#)—a resource for investment managers, private funds, and commodity pools.

In assessing your 2020 compliance strategy, it is important to keep in mind not only the compliance requirements and best practices for your business, but also the larger themes defining the regulatory and enforcement environment. Last year's SEC enforcement actions and risk alerts sent three clear messages:

- **Transparency is a priority.** Firms that could create a conflict of interest should endeavor to be scrupulously transparent in their arrangements and transactions.
- **Policies and procedures are just the start.** Firms need to have a solid infrastructure that translates compliance policies and procedures into actions.
- **Approach compliance holistically.** Firms must implement a holistic, risk-based approach that incorporates thorough due diligence of clients, employees, and vendors.

Download our 2020 Investment Management Regulatory Calendar and Annual Requirements:



Washington, DC

Investment Managers

Private Funds

Compliance Programs

Financial Services Regulatory and Compliance

Related Capabilities

Transactions

Private Investment Funds

Financial Services Transactions & Regulatory

Financial Services

Related Regions

North America

Related Professionals



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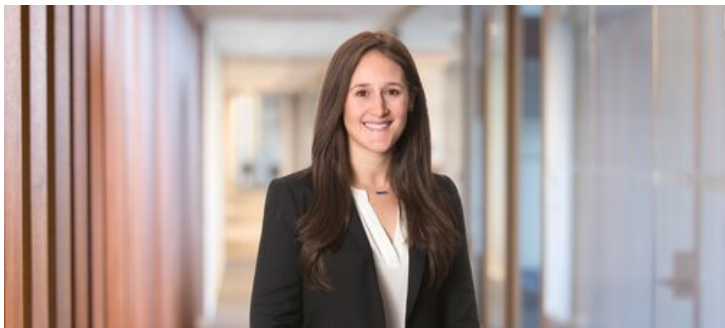
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