



Beth Kramer

Partner

New York
+1 212-294-6646

Beth focuses her practice on the representation of U.S. and non-U.S. asset managers in connection with the formation of funds and ongoing management of their businesses. She also advises clients on regulatory and compliance matters.

Beth has extensive experience in advising investment advisers on the formation and ongoing management of funds and on the regulatory and compliance aspects of their businesses. She counsels investment companies, private funds and separately managed accounts on structuring, organization, distribution, and SEC regulatory and compliance issues, including responses to SEC examinations.

Beth's experience includes the creation of new advisory businesses, along with registration and formation with appropriate regulatory authorities, development of compliance policies and procedures, performing compliance reviews, and counseling clients on compliance with the Dodd-Frank Act, Investment Advisers Act of 1940, and the Investment Company Act of 1940. She also regularly advises on the creation of disclosure documents for private funds, drafting of investment management products, and evaluating fund documents for institutional investors and family offices seeking alternative investments.

Additionally, Beth counsels clients on transactions involving digital assets, blockchain, and token offerings. She also advises clients on applicable securities laws and regulatory matters. She serves on the firm's Disruptive Technology Taskforce advising on all aspects of the industry.

Recent Experience

London Innovation...

Argand Partners...

Recognitions

- *The Legal 500 US*, recognized as a “key lawyer” in Fund Formation and Investment Management (2014–2023)
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Activities

- Member, New York City Bar Association’s Investment Management Regulation Committee
 - Committee Member, Alternative Investment Management Association
 - Member, American Bar Association Section of Business Law
 - Global Angel Member, 100 Women in Finance
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Credentials

EDUCATION

Beth received her B.S., *summa cum laude*, from Stony Brook University, State University of New York. She received her J.D., *cum laude*, from American University Washington College of Law.

ADMISSIONS

- New York

Related Insights & News

Publications

- “SEC Examinations Division Focuses on Principal Transactions and Cross Trades in Fixed Income Markets,” August 2, 2021
- “SEC Increases Thresholds for Qualified Client Status,” June 24, 2021
- “SEC Reiterates Examination Focus on Firms Engaged in ESG Investing,” April 20, 2021
- “SEC Division of Examinations Continues to Focus on Digital-Asset Securities,” April 15, 2021
- “2021 SEC Examination Priorities,” March 22, 2021
- “Reminder of Annual Requirements for Investment Managers,” February 11, 2021
- “SEC Unanimously Approves New Investment Adviser Marketing Rule,” January 27, 2021
- “OCIE Identifies Common Compliance and Supervisory Deficiencies of Investment Advisers,” December 11, 2020
- “Reminder: Electronic Submissions of Form BE-180 Filing Due October 30, 2020,” October 14, 2020

- “New SEC Rule Will Require Updates to Private Fund Documentation and Policies,” September 9, 2020
- “SEC Issues Risk Alert Relating to Observations from Recent Examinations,” June 30, 2020
- “Investment Management Regulatory Calendar and Annual Requirements,” February 8, 2020
- “Reminder of Annual Requirements for Investment Managers - 2019,” Lexology, January 25, 2019
- “Reminder of Annual Requirements for Investment Managers,” January 29, 2018
- “2017 Compliance Overview,” Lexology, December 5, 2016
- “SEC Adopts Significant Amendments to Form ADV,” Lexology, Winter 2016
- “Investment Adviser Cybersecurity: Principles and Effective Practices,” September 15, 2015
- “How Commodity Regulations Impact PE Fund Managers,” Law360, June 23, 2014
- “SEC Issues Risk Alert on Custody Rule, Reinforcing Its Message to Registered Investment Advisors in Its Examination Priorities for 2013,” JD Supra Law News, March 18, 2013
- “Roundtable on the Role of Independent Investment Company Directors: Issues for Independent Directors of Bank-Related Funds, Variable Insurance Product Funds, and Closed-End Funds,” The Business Lawyer, November 1999
- “Investment Companies,” Securities Practice and Electronic Technology, August 1998
- “Investment Fund Structures for Emerging Markets,” The Review of Securities & Commodities Regulation, September 27, 1995

Speaking Engagements

- “AIMA Private Fund Manager Training: Private Fund Focus on Regulatory Trends, Compliance Practices, and SEC Initiatives,” Alternative Investment Management Association, Webinar, March 3, 2021
- Moderator, “Your Career Ladder and Succession Planning: A Two-Way Perspective,” 100 Women in Finance, New York, NY, September 17, 2020
- “AIMA Private Fund Manager Training: Private Fund Focus on Regulatory Trends, Compliance Practices, and SEC Initiatives,” Alternative Investment Management Association, New York, NY, March 10, 2020
- Panelist, “Blockchain: Institutional Adoption Revolutionizing the Financial Industry,” MIT Enterprise Forum, New York, NY, November 20, 2019
- Panelist, “Institutionalizing the Convergence of Legal and Compliance,” Regulatory Compliance Association, New York, NY, May 8, 2019
- Panelist, “Regulatory, Compliance, and Enforcement Priorities for Advisers to Private Funds,” Regulatory Compliance Association, New York, NY, April 16, 2019
- “AIMA Private Fund Manager Training: Private Fund Focus on Regulatory Trends, Compliance Practices, and SEC Initiatives,” Alternative Investment Management Association, New York, NY, March 13, 2019
- Moderator, “Co-Investing Between P/E Funds and Independent Sponsors: Winning Strategies to Maximize Your Deal-Flow and Increase Your Returns,” Association for Corporate Growth New York, New York, NY, March 7, 2019
- Panelist, “Private Equity Structuring: The Basics,” New York City Bar Association, New York, NY, March 1, 2019
- Panelist, “Changing Landscape Seminar - 2019: The Year of Security Tokens,” MIT Enterprise Forum, New York, NY, November 13, 2018
- Panelist, “Investment Management Areas of Focus in 2018,” Winston & Strawn Seminar, London, UK, October 15, 2018

- Moderator, “Upgrading Controls, Analytics, Testing and Reviews,” Regulatory Compliance Association Webinar, New York, NY, June 19, 2018
- Panelist, “Meeting 2018 Compliance Challenges” Regulatory Compliance Association Symposium, New York, NY, May 15, 2018
- Panelist, “Blockchain and ICO Strategies,” IvyFON Family Office Trends Forum, New York, NY, April 17, 2018
- Panelist, “SEC Regulatory Compliance and Enforcement Priorities for Private Funds,” Regulatory Compliance Association, New York, NY, April 10, 2018
- Speaker, “Harvard in Tech Crypto + Blockchain Circle,” New York, NY, March 20, 2018
- “AIMA Private Fund Manager Training: Focus on SEC Priorities, Regulatory Trends and Compliance Practices for Private Funds and Advisers to Private Funds,” Alternative Investment Management Association, New York, NY, March 14, 2018
- “Private Equity Structuring: The Basics - Crossroads between Compliance, Best Practices, and Ethics,” New York City Bar Association, New York, NY, February 9, 2018
- Panelist, “Changing Landscape of Finance: ICOs, Tokens, Cryptocurrencies: How They are Creating Business Opportunities,” MIT Enterprise Forum, New York, NY, November 15, 2017
- Speaker, “Structuring, Tax, Regulation & Compliance,” Emerging Manager Forum, San Francisco, CA, November 9, 2017
- Panelist, “Upgrading Supervision, Surveillance, Testing and Reviews,” Regulatory Compliance Association Symposium, New York, NY, November 7, 2017
- Panelist, “Legal, Business and Regulatory Trends Impacting Family Offices,” The New York Family Office, New York, NY, October 12, 2017
- Panelist, “Blockchain: A Rainbow of Opportunities in Asset Management,” Battle of the Quants Conference, New York, NY, June 22, 2017
- Panelist, “Risk Assessments for Investment Advisers: Upgrading Your Compliance Framework,” Regulatory Compliance Association, New York, NY, June 21, 2017
- Panelist, “Women in Asset Management & Regulation Summit,” Regulatory Compliance Association, New York, NY, May 17, 2017
- “Upgrading Your Compliance Framework,” Regulatory Compliance Association, Fairmont Southampton, Bermuda, April 26-28, 2017
- Panelist, “Private Equity Structuring: The Basics - Crossroads Between Compliance, Best Practices and Ethics,” New York City Bar Association, New York, NY, February 10, 2017
- “AIMA Private Fund Manager Training: Fund Focus on SEC Priorities, Regulatory Trends and Compliance Practices,” Alternative Investment Management Association, New York, NY, February 8, 2017
- Panelist, “Cybersecurity Summit,” Regulatory Compliance Association, New York, NY, September 14, 2016
- Panelist, “Enforcement, Compliance & Operations – New York 2016™: Conflicts of Interest: Updating Procedures, Practices and Documents to Address New SEC and DOL Fiduciary Initiative,” Regulatory Compliance Association, New York, NY, May 17, 2016
- Panelist, “Regulation, Operations and Compliance (ROC) – Bermuda 2016™: Annual Compliance Reviews: Upgrading Your Process for Maximum Effectiveness,” Regulatory Compliance Association, Fairmont Southampton, Bermuda, April 17-19, 2016
- Panelist, “Women in Compliance Breakfast,” DMS Offshore Investment Services, New York, NY, March 29, 2016
- Panelist, “Focus on SEC Regulatory Compliance and Enforcement Priorities for Private Funds,” Regulatory Compliance Association, New York, NY, February 23, 2016

- “AIMA Hedge Fund Manager Training: Private Fund Focus on SEC Priorities, Regulatory Trends, and Compliance Practices,” Alternative Investment Management Association, New York, NY, February 10, 2016
- Panelist, “Women in Asset Management & Regulation Summit: Compliance, Risk & Enforcement,” Regulatory Compliance Association, New York, NY, November 3, 2015
- “Private Equity Structuring: The Basics - Private Equity Fund Compliance,” City Bar Center for CLE, New York, NY, September 18, 2015
- “Hedge Fund Management 2015,” Practising Law Institute (PLI), New York, NY, September 15, 2015
- “RCA Cybersecurity Summit,” New York, NY, September 8, 2015
- “Panel Presentation: Legal and Business Trends and Compliance for Family Offices and Private Funds,” New York, NY, February 25, 2015
- “AIMA Hedge Fund Manager Training: Focus on SEC Priorities, Regulatory Trends, and Compliance Practices for Private Funds,” Alternative Investment Management Association, New York, NY, February 11, 2015
- “2015 ISS Updates and Proxy Season Insights for Companies and Investment Managers,” New York, NY, November 20, 2014
- “AIFMD - Emerging Issues & Latest Developments,” panelist, RCA Compliance, Risk & Enforcement (CRE), New York, NY, November 4, 2014
- Panelist, “Private Fund Compliance in 2014: Issues, Trends and SEC Guidance,” Regulatory Compliance Association, New York, NY, October 1, 2014
- “It’s Not Magic – Learn the Tricks to Creating, Maintaining, and Growing Your Book of Business,” panelist, 2014 NAWL Annual Meeting & Awards Luncheon, New York, NY, July 24, 2014
- Panelist, “Broken Windows: SEC Enforcement and Examination Initiatives, 2014 and Beyond,” 100 Women in Hedge Funds, New York, NY, April 8, 2014
- “Growing Your Hedge Fund AUM from \$100MM to \$1 Billion,” Hedge Funds Association Symposium, New York, NY, March 3, 2014
- “AIMA Hedge Fund Manager Training: Private Fund Focus on SEC Priorities, Regulatory Trends, and Compliance Practices,” Alternative Investment Management Association, New York, NY, February 12, 2014
- “SEC Registration—What Happens After Registration?,” 5th Annual Hedge Fund Operations & Technology Conference, New York, NY, April 18, 2012

SEMINAR/CLE

Winston and AIMA Host...

MARCH 12, 2024

CLIENT ALERT

2024 Investment Management Regulatory...

JANUARY 31, 2024

RECOGNITIONS

Winston Ranked in *Leaders...*

NOVEMBER 3, 2023

WEBINAR

The SEC's Private Funds...

OCTOBER 18, 2023

NEWS

SEC Risk Alert: Investment...

SEPTEMBER 14, 2023

CLIENT ALERT

Summary of the SEC's...

AUGUST 30, 2023

CLIENT ALERT

SEC Risk Alert: EXAMS'...

JUNE 13, 2023

RECOGNITIONS

Winston & Strawn Recognized in *The Legal 500*

JUNE 7, 2023

CLIENT ALERT

Division of Exams Issues...

MAY 16, 2023

SPONSORSHIP

AIMA Digital Assets Conference...

MAY 11, 2023

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SEC Adopts Amendments to...

MAY 10, 2023

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SEC EXAMS Issues Risk...

APRIL 6, 2023

Capabilities

