

Reminder of Annual Requirements for Investment Managers

JANUARY 2015

As we begin the new year, we thought it would be helpful to remind our clients that manage separate accounts or private funds, whether hedge funds, private equity funds, commingled funds, collateralized loan obligations, or commodity pools, of certain obligations that may be applicable to them as “Investment Managers” under various U.S. federal and state laws and regulations.

Some of the guidance contained in this memorandum relates to strict legal requirements imposed by statute or regulatory agencies while other guidance is more accurately characterized as best practices recommendations. The beginning of the new year may be a logical time to review and satisfy, or at least schedule the review of, these obligations, many of which apply to both registered and unregistered advisers.

For your convenience, a table of contents can be found in the attached PDF so that you may more easily reference the information that is relevant to your organization. Additionally, a brief summary of key dates for 2015 and regulatory highlights from 2014 can be found at the end of this briefing in Appendices A and B, respectively.

Please contact us should you have any questions regarding compliance with any of the following or their applicability to your specific situation.

This summary is not intended to provide a complete review of an Investment Manager’s obligations relating to compliance with applicable tax, partnership, limited liability, trust, corporate or securities laws or rules, or non-U.S. or U.S. state law requirements.

This briefing is not intended to be exhaustive, or to provide a detailed statement of the specifics of any particular obligation. The following necessarily does not include all annual or periodic obligations applicable to all Investment Managers. Similarly, many of the obligations described below may not be applicable to all Investment Managers.

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