May 12, 2013

Corporate and Business Law Attorneys Publish Article on Broker-Dealer Registration in *Investment News*

Hank Massey, Greg Kahn and Sam Jennings authored a May 12 article, "SEC focusing on B-D registration issues for private-fund managers," for *Investment News*, addressing concerns arising from the Securities and Exchange Commission's recent focus on broker-dealer registration for private fund managers. The article notes that in determining whether a private fund manager should register as a broker dealer, the main issues to focus on are: how investors are solicited and retained and by whom; and how employees are compensated for that work.

The full article can be found here.

Authors



Henry Nelson Massey
Of Counsel

Parsippany, NJ | (973) 966-8105

New York, NY | (212) 297-2416

hmassey@daypitney.com