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SEC Focusing on B-D Registration Issues for Private-Fund Managers

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.

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