

COMPLIANCE SUPPORT SERVICES

Seward & Kissel Takes Compliance Support to Another Level

Seward & Kissel offers a wide array of compliance support services to our investment management clients, from the compliance help needed during the formation/start-up phase of your business to the ongoing compliance support required as your firm grows and matures. We bring to bear to each compliance engagement a practical, tailored approach based on our extensive legal, governmental and regulatory experience coupled with the real world knowledge gathered from our large network of relationships within the financial services space.



Our Compliance Support Services

- Structuring and implementing new products, including operating procedures for SEC, CFTC, ERISA and tax issues
- Managing entity formation, qualification, publication and trademark matters
- Coordinating SEC, CFTC and state registration and exemption work
- Preparing customized Forms ADV, compliance policies and procedures, codes of ethics, and disaster recovery and business continuity plans
- Reviewing marketing materials, including PowerPoints, DDQs and performance reports
- Negotiating third party service provider and counterparty agreements
- Making filings with regulators including: blue sky; Form D; Form PF; 13D, 13G, 13F, 13H; Forms 3, 4 and 5; HSR filings; tax filings; and ERISA filings
- Conducting mock compliance audits and periodic compliance reviews
- Assisting clients before, during and after the regulatory examination process
- Responding to regulatory inquiries and investigations, including advice relating to potential civil or criminal enforcement actions that may arise
- Training employees on compliance and securities law issues, including anti-money laundering, insider trading, Rule 105 and codes of ethics requirements
- Formulating replies to investor due diligence inquiries
- Reviewing and analyzing subscription agreement issues for private funds
- Checking investment management and fund documentation for compliance with relevant government regulations and firm policies and procedures



Why Use Seward & Kissel for Compliance Support Services?

- A leading law firm with over 75 years experience in the financial services sector, dating back to the very first hedge fund, including extensive interdisciplinary expertise in relevant securities laws, and in dealing with examinations, enforcement matters and investigations
- Deep relationships with many senior level personnel throughout the investment management community brings tremendous value to each compliance initiative
- Over 75 lawyers at the firm devoted to investment management-related matters
- Proprietary in-house blue sky software, Hedge Fund Management System
- Strategic alliance in the investment management area with Simmons & Simmons, a world-renowned international law firm with over 20 offices in the EU and Asia
- Seward & Kissel name is well respected by asset allocators
- Washington, D.C. office complements New York City office by providing key input on legislative/regulatory issues
- Proactive legal practice provides clients with guidance on numerous legal and regulatory issues as they develop and submits comment letters to regulators on proposed regulations that may impact the industry
- Alternative pricing options are available for compliance support services
- Seward & Kissel's legal advice is protected by the attorney-client privilege

Contact Us

If you'd like to hear more about Seward & Kissel's compliance support services offering, please contact any of the firm partners listed below, or visit our web site, www.sewkis.com.

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