

Winston and AIMA Host Workshop on Private Fund Focus on Regulatory Trends, Compliance Practices, and SEC Initiatives

MARCH 12, 2024

Winston & Strawn's Financial Services & Funds Partners were pleased to host the 11th Annual Manager Training: Private Fund Focus on Regulatory Trends, Compliance Practices, and SEC Initiatives in partnership with [The Alternative Investment Management Association \(AIMA\)](#).

Partners [Beth Kramer](#) and [Scott Naidech](#), alongside [Mathew Siano](#), adjunct professor at William & Mary's Mason School of Business, led lively discussions on private fund rules, conflicts of interest, fees, expenses, performance marketing, and annual reviews. All this was viewed through the lens of current SEC initiatives and compliance practices commonly utilized by hedge funds, private equity funds, and alternative investment fund managers.

Find key takeaways from the workshop below.

KEY TAKEAWAYS

- SEC scrutiny on advertising underscores the importance of accurate and transparent marketing practices.
- Understanding recent rule proposals is essential for anticipating regulatory changes.
- Staying updated on SEC risk alerts and new rules is vital for compliance.
- Learning from enforcement actions helps advisers identify and mitigate compliance risks effectively.
- It is important to stay informed about regulatory developments, adhere to compliance requirements, and proactively address areas of regulatory focus to maintain regulatory compliance and integrity in the financial services industry.





1 Min Read

Speaker

[Beth Kramer](#)

[Scott Naidech](#)

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Beth Kramer



Scott Naidech