

Money Management/ Investment Adviser

Our attorneys have experience in representing registered money managers who are registered either under the federal Investment Advisors Act of 1940, as amended, or under State securities laws. We represent money managers on their acquisitions and divestitures, transfer and assignment of clients, regulatory issues, customer complaints, arbitrations, and strategic issues, in addition to corporate governance issues, and issues relating to Form ADV and equivalent state filings. We also represent money managers before the Securities and Exchange Commission and state investment adviser regulators.

Experience

Prosecuted \$1.6 Million Broker Liability Fiduciary Duty Breach

Defended Majority Business Owner Against Claims in Excess of \$2 Million

Firm News

Attorney Steven Sims Joins Amundsen Davis's Corporate Practice Group
January 2, 2020

Events

The Corporate Paralegal: Overcoming Top Challenges
Speaking Engagement, Institute for Paralegal Education; Webinar, March 8, 2018

Published Works

State of Illinois Force Majeure Law Compendium (during COVID-19 pandemic)
USLAW, June 5, 2020

Blog Posts

Impact of the SEC's 2024 Examination Priorities Report for Investment Advisers
Corporate News: A Legal Update, March 21, 2024

PROFESSIONALS

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