

## Investment Management & Broker-Dealer

# Money Matters

Shifting investment patterns, increased regulations, and emerging technologies continuously impact the securities and investment management industries. To help you navigate these changes, Kilpatrick Townsends Investment Management & Broker-Dealer Team provides straightforward, efficient solutions on all aspects of fund formation, investment advisory, transactional, regulatory compliance, and enforcement matters for registered and non-registered individuals and entities. With one of the largest practices in the Southeast, our attorneys handle the most complex corporate, regulatory enforcement, and litigation matters relating to international, national, and small-firm broker-dealers and their agents and affiliates. We advise a broad client base — investment advisers, broker-dealers, registered persons and professionals appearing before the SEC, mutual funds, ETFs, banks, insurance companies, public and private investment companies, and investment pools of all types, including institutional investment funds and family offices — giving us a unique perspective into the securities and investment management industries. This insight, coupled with our comprehensive industry knowledge and experience, allows us to help clients identify opportunities and solutions, manage and anticipate risks, and foster long-term relationships with government regulators, SROs, and policymakers.

### Reach

#### Bottom-Line Results

Our dedicated attorneys offer comprehensive advice across a wide range of practice areas — corporate, finance, mergers and acquisitions, employment, ERISA, tax, antitrust, securities, and litigation — while tracking industry, regulatory, and judicial trends to formulate the most effective legal strategies for our clients. We work collaboratively to best structure and negotiate large, private corporate investments, real estate funds, and investment funds in both singular and multijurisdictional matters at the federal and state level for both domestic and offshore funds of all sizes and structures. We also come uniquely qualified to handle legal and regulatory examinations, investigations, enforcement, and litigation matters before the SEC, CFTC, DOJ, FINRA, NASAA, as well as before the securities commissions, attorney generals, and local authorities in all 53 U.S. states and territories.

### Approach

#### Long-Term Gains

In addition to our extensive experience, industry acumen, and practical know-how, our attorneys are readily accessible — including partners — and understand the importance of building longstanding client relationships based on trust and respect. Through regular communication and proactive assistance, we help clients stay ahead of the curve, while creating practical, innovative, cost-effective, and lasting solutions.

#### Service Areas

- Broker-Dealer

- Hedge Funds
- Investment Advisers
- Mutual Funds, ETFs, Closed-End Funds & UITs
- Private Equity Funds
- Real Estate Funds
- Securities Compliance, Enforcement & Litigation

## Primary Contacts

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