



Investment Advisers

Chapman combines market insight with our extensive legal and regulatory experience to assist investment advisers in connection with their businesses.

We represent investment advisers involved in a wide range of activities. Some of the services we provide to our investment adviser clients include:

- Federal and state registration, including drafting of Form ADV;
- Advising on ongoing operational and compliance issues;
- Drafting and reviewing compliance policies and procedures;
- Drafting and negotiating investment advisory, licensing, sub-advisory, service and other agreements;
- Reviewing advisers' advertisement, model performance data and Global Investment Performance Standards (GIPS) compliance;
- Advising on the sales, acquisitions and mergers of investment advisory businesses and assignment of contracts;
- Assisting with preparations for regulator examinations, responding to adverse findings and negotiation the terms of resulting actions; and
- Providing counsel in connection with arbitration proceedings and litigation.

Due to our extensive experience, we are able to navigate through the legal and regulatory issues facing an investment adviser in setting up its business, dealing with ongoing operational and compliance concerns, marketing and a range of investment and product structuring activities.

We also work with a variety of clients to analyze their organizations' practices and structures to determine whether they fall within the definition of "investment adviser" under the Investment Advisers Act of 1940 and whether they are eligible from an exemption from registration.

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Investment Advisers Record Updates

October 19, 2023

Investment Management Regulatory Update: Q3 2023

June 29, 2023

Investment Management Regulatory Update: Q2 2023

Related Practices

Broker-Dealers

Corporate Finance and Securities

Derivatives Transactions

Employee Benefits and Executive Compensation

Investment Management

Municipal Advisors

Private Funds: Fund/Sponsor Representation

Registered Investment Companies

Taxation