



INVESTMENT MANAGEMENT AND BROKER-DEALER SERVICES

PROVIDING WORLD-CLASS EXPERTISE AND RESPONSIVE SERVICE

SERVICES



- Investment Adviser Registration and Compliance
- Broker-Dealer Registration and Compliance
- CPO/CTA Registration and Compliance
- Corporate Structuring and Governance
- Mergers & Acquisitions / Joint Ventures
- Reorganizations
- Private Fund Formation
- Fund Documentation and Disclosure
- Advocacy on Capitol Hill
- International Regulatory Counseling
- Investor Representation
- Data Security & Privacy
- Internal Investigations
- Regulatory Exams & Enforcement
- FINRA Arbitrations
- Complex Commercial Litigation
- Employment Counseling
- Tax Counseling
- IP Counseling
- ERISA Counseling

FULL SERVICE REPRESENTATION

20+ FOCUSED ON
INVESTMENT MANAGEMENT
& BROKER-DEALER SERVICES **24/7**

750+ **GLOBAL
PROFESSIONALS**

13 **LOCATIONS**
USA UK CHINA

A TOP FIRM FOR
CLIENT SERVICE
5 **2012-2017**
YEARS **BTI CONSULTING GROUP**

WHAT MAKES US DIFFERENT

- ▶ **WELL POSITIONED IN DC** working with the SEC, the CFTC and other regulators
- ▶ Professionals with **SIGNIFICANT INDUSTRY EXPERIENCE**, both in-house and with regulators
- ▶ **FULLY INTEGRATED LEGAL TEAMS** to address a full spectrum of needs
- ▶ **AN UNDERSTANDING** that legal concerns are only one aspect of business decisions
- ▶ **PROFESSIONALS** that are involved with industry associations
- ▶ **GLOBAL** delivery of services from our U.S., U.K. and Asia locations

REPRESENTATIVE CLIENTS

INVESTMENT ADVISERS

Traditional, SMAs, Private Funds, Dual Registrants

COMMODITY TRADING ADVISORS

BROKER-DEALERS

Retail, Bank, Insurance, Limited Purpose, Independent

COMMODITY POOL OPERATORS



- NSCP** ▶ National Society of Compliance Professionals (board member & speaker)
- BISA** ▶ Bank Insurance & Securities Association (compliance & advisory board)
- SIFMA** ▶ Securities Industry & Financial Markets Association (contributors)
- ALIC** ▶ Association of Life Insurance Counsel (contributors)
- IAA** ▶ Investment Adviser Association (contributors)

We partner with clients to understand the opportunities and challenges specific to their business models, and then provide counsel on risk management. The importance of that collaboration with clients is immeasurable and the key to success.