

Peter M. Hong

Partner

Washington, DC

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Peter Hong uses his many years of service at the Securities and Exchange Commission (SEC) and the Commodity Futures Trading Commission (CFTC) to guide clients through the various regulatory requirements involved in the offer of financial services and products. His practice includes the registration and regulation of investment advisers, broker-dealers, commodity trading advisers, commodity pool operators, and introducing brokers under federal and state laws, as well as the formation and ongoing compliance obligations of registered and private investment companies.

Peter's practice includes providing advice regarding routine and complex matters pertaining to regulations of federal and state securities and commodities regulatory authorities and self-regulatory organizations such as the Financial Industry Regulatory Authority (FINRA) and the National Futures Association (NFA). He routinely uses his substantial experience in marketing and advertising regulations to assist investment advisers and broker-dealers in the creation of compliant websites, presentations and advertisements.

RESULTS

- represented Nationwide Mutual Funds in the adoption of 17 equity and fixed-income mutual funds from the HighMark Funds
- represented Nationwide Mutual Funds in the adoption of various mutual funds from UBS and Thompson, Siegel & Walmsley
- advised numerous clients on the impact and application of the 2012 amendments to Part 4 of the CFTC Regulations, including the registration and exemption from registration of certain service providers of registered and private investment companies engaged in commodity interest transactions
- assisted commodity pool operators, commodity trading advisers and introducing brokers navigate through the NFA membership application process, including the registration of associated persons and disclosure filings of principals
- assisted registered commodity trading advisers and commodity pool operators in the drafting of compliance policies and procedures and responding to NFA annual self-examination questionnaires
- advised clients in implementing new policies and procedures required by the SEC pay-to-play rule for investment advisers

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FOCUS

Registered Investment Companies
Investment Advisers
Broker-Dealer Regulatory
Derivatives & Commodities
Private Investment Funds
Investment Management
Fiduciary Governance

BAR ADMISSIONS

District of Columbia
Maryland

EDUCATION

J.D., American University Washington
College of Law
B.A., Dickinson College

MEMBERSHIPS

District of Columbia Bar Association
Maryland State Bar Association
Stradley Ronon Diversity Committee

LANGUAGES

Korean



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- assisted a real estate private equity fund sponsor in the launch of additional funds

SPEAKING ENGAGEMENTS

- Panelist, “The Regulation of Startup Hedge Funds,” The Hedge Fund Startup Forum
- Presenter, “Investment Company Advertising: Regulatory Framework and Problem Areas,” SEI Knowledge Partnership
- Presenter, “The CCO’s Point of View: Making Sense of Recent Regulations and Enforcement Proceedings,” Stradley Ronon seminar
- Presenter, “Using Social Media: Practical and Legal Considerations for Investment Advisers,” Stradley Ronon seminar
- Presenter, “60-MINUTE WEBINAR: The Brave New World of Centrally Cleared Swaps - Are You Ready?” Stradley Ronon seminar
- Presenter, “Legal Issues Impacting the Use of Social Media to Investment Management Services,” Stradley Ronon seminar

