



## Marguerite W. Laurent

### Partner

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### OVERVIEW

Meg Laurent is a partner in the firm's Washington, D.C. office, where she is a member of the investment management, hedge funds, and alternative investment practice group. Meg concentrates her practice on advising registered investment companies, registered investment advisers, and broker-dealers on a broad range of regulatory, compliance, and transactional matters that arise under U.S. federal securities laws. She also advises the independent board members of investment companies on corporate governance and regulatory matters. She currently represents two mutual fund complexes and the independent board members of six mutual fund complexes, among other clients.

### PROFESSIONAL BACKGROUND

Prior to joining the firm, Meg was a senior counsel with the U.S. Securities and Exchange Commission, where she conducted routine and risk-based inspections of self-regulatory organizations and nationally recognized statistical rating organizations to ensure compliance with federal securities laws, among other matters.

### ACHIEVEMENTS

In 2017, Meg was Awarded "Rising Star" at the 24th Mutual Fund Industry Awards sponsored by *Fund Industry Intelligence* and *Fund Director Intelligence*. The rising stars are nominated by their peers, mentors, and colleagues for their outstanding work in the broader mutual fund community.

### SPEAKING ENGAGEMENTS

- Moderator, "An Evening with SEC Division of Investment Management Director Dalia Blass," 100 Women in Finance, Washington, DC, June 20, 2018
- Panelist, "New and Emerging Issues in Compliance and Risk Management," ICI Mutual Insurance Risk Management Conference, Memphis, TN, April 12, 2018

## EDUCATION

- J.D., State University of New York at Buffalo Law School, 2007
- M.B.A., State University of New York at Buffalo, 2007
- B.S., State University of New York at Buffalo, 2003

## ADMISSIONS

- Bar of District of Columbia
- Bar of New York

## THOUGHT LEADERSHIP *POWERED BY HUB*

- 2 November 2023, Asset Management and Investment Funds Fall Conferences - Washington, D.C.
- November 2022, Disclosure Modernization Initiative Webinar Series: Overview
- 27 October 2022, SEC Finalizes Major Changes to Shareholder Report Disclosure Scheme and Investment Company Advertisement Rules
- 9 March 2022, SEC Proposes Cybersecurity Risk Management Rules for Investment Advisers and Funds
- 6 March 2020, COVID-19: Evaluating the Need for In-Person Fund Board Meetings and Other Considerations for U.S. Asset Managers
- 21 March 2019, SEC Staff Eases Certain "In-Person" Board Approval Requirements
- 8 May 2017, Social Media Update: FINRA Releases Additional Guidance on Social Networking Websites and Business Communications
- 11 November 2016, Time to Get With the (Liquidity Risk) Program: SEC Issues Liquidity Risk Management Rule for Open-End Funds
- 1 December 2015, Cybersecurity Update: National Futures Association Adopts Cybersecurity Guidance for Member Firm Information Systems Security Programs
- 29 September 2015, SEC Announces First "Distribution in Guise" Case
- 23 September 2015, OCIE's 2015 Cybersecurity Examination Initiative

## OTHER PUBLICATIONS

- "What To Know About SEC Shareholder Disclosure Reforms," *Law360*, 28 October 2022

## NEWS & EVENTS

- 2 November 2022, 2022 K&L Gates Asset Management and Investment Funds Conference - Washington, D.C.
- 6 May 2022, Current Challenges in the Use of Social Media and Electronic Communications, Hosted by the Financial Markets Association
- 2 March 2018, K&L Gates Names 34 New Partners Across Global Platform

## AREAS OF FOCUS

- Asset Management and Investment Funds