



Adam Bolter

Counsel

Financial Markets and Funds

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Adam Bolter counsels investment advisers, broker-dealers, private funds, and mutual funds on regulatory compliance with the federal securities laws. Clients rely on Adam's depth of experience, both in his private practice and his many years working at the Securities and Exchange Commission.

Securities counsel with first-hand regulatory experience

Before rejoining Katten, Adam spent 12 years at the SEC, where he worked with a number of different SEC offices, advising on a broad range of matters involving investment advisers and investment funds, including private funds. Adam routinely evaluated requests for no-action letters, interpretive letters and exemptive relief. He brings to his practice extensive experience addressing questions involving the Investment Advisers Act and responding to interpretive questions regarding implementation of the Investment Adviser Marketing rule.

Adam also spent a number of years in both the Investment Company and Investment Adviser (including the private funds branch) rulemaking offices where he focused on developing policy recommendations and drafting rulemaking proposals on Investment Adviser Marketing and Use of Derivatives by Registered Investment Companies and Business Development Companies.

Initially trained as a Certified Public Accountant, Adam previously worked as an auditor for a major accounting firm where he conducted audits of hedge funds and other private funds. In law school he served as managing editor of Washington College of Law's *Administrative Law Review*.

Publications

- [A Brave New World: The U.S. Supreme Court Torpedoes the "Administrative State" | *The Banking Law Journal*](#) (October 2024)
- *ESG Guidepost* | Issue 18 (September 2024)
- Financial Markets and Funds *Quick Take* | Issue 30 (September 12, 2024)

Practices

- Broker-Dealer Regulation
- Financial Markets and Funds
- Investment Management and Trading
- Private Equity Regulatory Compliance
- Regulated Funds

Industries

- Family Offices
- Finance and Financial Markets

Education

- JD, American University Washington College of Law
- BS, Pennsylvania State University

Bar Admissions

- District of Columbia
- Illinois

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- Judge Dismisses Case Against Seeking Alpha: Implications for Publishers of Financial Information (August 26, 2024)
- Financial Markets and Funds *Quick Take* | Issue 29 (August 2024)
- Financial Markets and Funds *Quick Take* | Issue 28 (July 2024)
- A Brave New World: The Supreme Court Torpedoes the 'Administrative State' (July 12, 2024)
- Financial Markets and Funds *Quick Take* | Issue 27 (June 2024)
- Financial Markets and Funds *Quick Take* | Issue 24 (March 2024)
- Financial Markets and Funds *Quick Take* | Issue 23 (February 2024)
- Financial Markets and Funds *Quick Take* | Issue 22 (January 2024)
- Financial Markets and Funds *Quick Take* | Issue 20 (November 2023)
- Financial Markets and Funds *Quick Take* | Issue 18 (September 2023)
- SEC Adopts Controversial and Sweeping Changes to Private Fund Rules; Requires Documentation of Annual Compliance Reviews (August 25, 2023)
- Financial Markets and Funds *Quick Take* | Issue 17 (August 2023)
- Financial Markets and Funds *Quick Take* | Issue 15 (June 13, 2023)
- Financial Markets and Funds *Quick Take* | Issue 14 (May 30, 2023)
- Financial Markets and Funds *Quick Take* | Issue 13 (April 25, 2023)
- SEC's Proposed Custody Rule Changes And What They Mean (March 21, 2023)
- Financial Markets and Funds *Quick Take* | Issue 11 (February 21, 2023)
- [Regulation of Hedge Fund Advisers: A Valid Exercise of Rulemaking Authority or the Promulgation of New Law? | *Administrative Law Review*](#) (Spring 2005)

Presentations and Events

- A Brave New World: The Supreme Court Torpedoes the 'Administrative State' (July 30, 2024) | *Panelist*
- Regulatory Developments for Asset Managers and Broker-Dealers (July 10, 2024) | *Presenter*
- Katten RegWatch: SEC Private Funds Rule — Gearing Up for "Preferential Terms" and "Restricted Activities" Compliance (March 22, 2024) | *Speaker*

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- Katten RegWatch: First Impressions of FinCEN's Proposed AML Rule for Investment Advisers (February 21, 2024)
- Katten's Annual Financial Markets and Regulation Crystal Ball — A Look Back at 2023 and a Look Forward to 2024 (February 1, 2024)
- Private Fund Manager or Public Servant? Practical Questions and Answers on the New Private Funds Rule (September 21, 2023)
- SEC Update: Regulatory and Enforcement Developments for Asset Managers (June 22, 2023)
- Form N-PX and "Say-on-Pay": Preparing for New Requirements for Institutional Managers (June 15, 2023) | *Speaker*
- Katten's Annual Financial Markets and Regulation Crystal Ball Event (January 19, 2023)