

Peter M. Hong

Co-Chair, Derivatives & Commodities

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Peter Hong is co-chair of the firm's derivatives & commodities practice group and 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 advisors, 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 **Chatham Financial**, a global leader in financial risk management advisory and technology, in its acquisition of EA Markets
- represented **Pacific Life** in the sale of its third-party credit asset management firm, Pacific Asset Management, LLC, which at closing managed over \$20 billion, to Aristotle Capital Management, LLC
- represented **McGervey Wealth Management**, a wealth management firm with approximately \$105 million in AUM, in its sale to Mariner Wealth Advisors
- represented **Berkshire Asset Management (BAM)** in its sale of a minority stake to iM Global Partner, a leading global asset management network
- 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

FOCUS

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

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

SPEAKING ENGAGEMENTS

- Presenter, “Financial Services Regulatory Workshop,” Stradley Ronon CLE
- Panelist, “Financial Services Regulatory Forum” Stradley Ronon CLE Webcast
- Panelist, “Investment Management Industry Regulatory Outlook & Insights,” Stradley Ronon and Thrivent
- Presenter, “Crypto: New Frontiers and Unanswered Questions,” FIA Webinar
- Panelist, “Finders and Unregistered Broker-Dealers: Understanding the Risks and Recent Developments,” Strafford Webinar
- 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

PUBLICATIONS

- Co-author, “To Bot or Not to Bot: SEC’s Proposed Conflict Rules May Stifle Use of Innovation,” *The Journal of Robotics, Artificial Intelligence & Law*



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- Co-author, “Barley to Bitcoin: The Scope of CFTC and NFA Jurisdiction Over Spot Digital Assets,” *Futures and Derivatives Law Report*
- Co-author, “Investment Advisor Regulation: A Step-by-Step Guide to Compliance and the Law (Third Edition) – Chapter 58: Commodity Trading Advisor Status and Regulation,” *Practising Law Institute*
- Co-author, “Investment Advisor Regulation: A Step-by-Step Guide to Compliance and the Law (Third Edition) – Chapter 60: Investment Adviser Use of Social Media and Related Regulations,” *Practising Law Institute*
- Co-author, “Mutual Funds and Exchange Traded Funds Regulation (Third Edition) – Chapter 36: Commodity Pool Operator Status and Regulation,” *Practising Law Institute*
- Co-author, “2021 CPO/CTA Highlights from NFA,” *Futures & Derivatives Law Report*

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