

Lawrence P. Stadulis

Co-Chair, Broker-Dealer

Co-Chair, Fiduciary Governance

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Lawrence Stadulis advises clients in matters pertaining to the registration and regulation of investment advisers and investment companies under federal and state securities laws. He also manages related issues pertaining to investment advisers and investment companies, including matters involving ERISA, broker-dealer regulation and banking laws.

Larry is a frequent lecturer and author on legal matters pertaining to the investment management industry. He prepares a monthly column on recent SEC developments for *The Investment Lawyer*, a legal publication that focuses on the investment management industry.

Before joining Stradley Ronon, Larry was a partner with another prominent law firm. Prior to that, he was special counsel in the Office of Chief Counsel, Division of Investment Management, U.S. Securities and Exchange Commission. As special counsel, Larry was principally responsible for responding to no-action and interpretive requests under the Investment Company Act of 1940 and Investment Advisers Act of 1940.

RESULTS

Larry's experience includes the representation of:

- **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

SPEAKING ENGAGEMENTS

- Panelist, "Understanding the SEC's Proposed Rule for Safeguarding Client Assets," COMPLYConnect Conference and Expo
- Moderator, "Securities Law and Practice 2023: How the SEC Works," Practising Law Institute
- Presenter, "Financial Services Regulatory Workshop," Stradley Ronon CLE
- Panelist, "Financial Services Regulatory Forum" Stradley Ronon CLE Webcast
- Panelist, "Trading for Investment Advisors: Building from the Fundamentals," COMPLYConnect Conference and Expo
- Speaker, "Practice Steps to Achieve ESG Compliance for Investment Advisers and Private Funds/Equity (IA)," National Regulatory Services

FOCUS

Investment Advisers
Broker-Dealer
Private Investment Funds
Registered Investment Companies
Securities Enforcement & Investigations
Investment Management Enforcement & Investigations
Investment Management Litigation
Insurance Products
Banking
Emerging Companies & Venture Capital Funds
Investment Management Mergers & Acquisitions
REITs
Investment Management
Common & Collective Trust Funds
Fiduciary Governance

BAR ADMISSIONS

District of Columbia
New York

EDUCATION

J.D., Boston College Law School
B.A., *magna cum laude*, Boston College

MEMBERSHIPS

Stradley Ronon Diversity Committee



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- Co-Instructor, “Books and Records Requirements for Investment Advisers,” National Regulatory Services
- Co-Instructor, “Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act,” National Regulatory Services
- Panelist, “Securities Law and Practice 2020: How the SEC Works,” Practising Law Institute Workshop
- Co-Instructor, “Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements,” National Regulatory Services
- Co-Instructor, “Form ADV Part 1: Annual Updating Amendment and More,” Investment Adviser Certified Compliance Professional Webinar
- Panelist, “Finders and Unregistered Broker-Dealers: Understanding the Risks and Recent Developments,” Strafford Webinar
- Panelist, “The SEC’s Proposed Amendments to the Advisers Act Advertising Rule,” Stradley Ronon, Foreside Financial Group and Fidelity Investments Webcast
- Presenter, “What Directors Need to Know about Regulation Best Interest and the Standards of Conduct Rulemaking Package,” Mutual Fund Directors Forum
- Panelist, “Regulation Best Interest and Other New SEC Standards of Conduct: Impact on Broker-Dealers, Investment Advisers and Investment Companies,” Strafford Webinar
- Panelist, “Preparing for a Patchwork Establishing a Conflicts Program: What You Can Do Today,” Practising Law Institute Conference
- Panelist, “Closed-End Fund Regulatory and Compliance Issues,” Investment Company Institute’s Closed-End Fund Conference
- Panelist, “Marketing and Social Media Compliance for Investment Advisers,” NRS Fall Compliance Conference
- Panelist, “Best Execution and Trading for Investment Advisers,” NRS Fall Compliance Conference
- Presenter, “Investment Adviser Performance and Advertising,” National Regulatory Services Webinar
- Presenter, Association of Institutional INVESTORS
- Presenter, Chicago Chief Compliance Officer Roundtable
- Panelist, “The SEC the DOL and the States: A New Fiduciary World,” Investment Company Institute’s General Membership Meeting
- Speaker, “The DOL, the SEC and the States: Fiduciary Law Developments,” Stradley Ronon Briefing on Fiduciary Law Developments
- Presenter, “Legal Issues Impacting the Use of Social Media to Market Investment Management Services”
- Co-Presenter, “Valuation: Best Practices and Fiduciary Standards,” National Regulatory Service



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- Panelist, “The CCO’s Point of View: Making Sense of Recent Regulations and Enforcement Proceedings,” 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*
- 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*

RECOGNITIONS

- *Chambers USA: America’s Leading Lawyers for Business*, listed in nationwide investment funds: registered funds

