

Q&A: The Bottom Line of Complying with the SEC's New Marketing Rule

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In the late fall of 2020, the SEC implemented rule amendments which created a single rule, the Marketing Rule, that replaces the current Advertising and Cash Solicitation Rules. The Marketing Rule represents both significant continuity with and a significant departure from the current rules. November 4, 2022 is the SEC's imposed deadline for compliance with these new amendments. Recently, Proskauer hosted a Bottom Line installation to provide a deep dive into the applicability of, and the nuances of this new rule as it applies to RIAs, ERAs and non-US based managers. To supplement this event, we have presented a collection of the most common questions and "need to knows" with answers, providing further overview of this new rule.

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