



Contact

**Robert E. Plaze**

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Robert Plaze advises investment advisers, investment companies, hedge funds, private equity funds and their service providers on regulatory and compliance issues under the federal securities laws. Following nearly 30 years in the SEC's Division of Investment Management, most recently as Deputy Director, Bob is a partner in Proskauer's Registered Funds Group.

At the SEC, Bob was responsible for policy development and management of the key regulatory initiatives affecting investment companies and investment advisers, including rules governing fund and adviser compliance programs, money market funds, fund corporate governance, personal trading, custody and brokerage practices, prohibitions on "pay to play" practices, and protection of investor privacy. After the passage of the Dodd-Frank Act, Bob was responsible for rulemaking requiring advisers to private funds to register with the SEC, providing new exemptions from registration and requiring reporting by certain exempt advisers.

Bob's comprehensive [outline of the SEC's regulation of investment advisers](#) is relied on by lawyers and compliance professionals throughout the industry.

[Practices](#)

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Registered Funds, Family Office, Investment Management, Broker-Dealer, Private Funds

#### Industries

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Financial Services, Asset Management

#### Market Solutions

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Blockchain

#### Education

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Georgetown University, J.D.

*cum laude*

Georgetown University, A.B.

#### Admissions & Qualifications

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District of Columbia

#### Memberships

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American Bar Association

#### Awards & Recognition

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Chambers Global: USA: Investment Funds: Regulatory & Compliance 2022

U.S. Securities and Exchange Commission's 2009 Distinguished Service Award

Chambers USA: Nationwide: Band 1, Investment Funds: Regulatory & Compliance  
2020-2022

Chambers USA: Nationwide: Investment Funds: Registered Funds 2017-2020

Best Lawyers in America 2018-2023