

Pamela A. Grossetti

Partner

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OVERVIEW

Pamela Grossetti is a partner in K&L Gates' Boston office. Pamela practices in the area of Investment Management and securities law, and focuses on advising investment advisers, registered and unregistered investment companies and other financial service providers on all legal and regulatory aspects of their operations. Pamela counsels clients on various regulatory and compliance issues including performance advertisement review for investment advisers and broker-dealers. Pamela also assists in the formation of and the provision of ongoing advice to domestic and offshore unregistered investment companies.

PROFESSIONAL BACKGROUND

Prior to joining the firm, Pamela was a chief compliance officer at an SEC-registered investment advisory firm. In addition, Pamela was an associate at the firm from 2007-2015 in the Boston office and a summer associate in 2006.

ACHIEVEMENTS

- Certified Legal Project Manager (LawVision)

PROFESSIONAL / CIVIC ACTIVITIES

- Pamela serves as a member of the Boston Office's Associate Review Committee
- Co-Chair, Financial Services Section of the Boston Bar Association

SPEAKING ENGAGEMENTS

- K&L Gates and F/m Acceleration, “How to Grow or Launch Your Fund or Asset Management Firm—in Challenging Times,” Webinar, June 23, 2020
- K&L Gates, “2019 Investment Management Conference,” Boston, MA, November 5, 2019

- K&L Gates and ACA Compliance Group, “A First Look at the Final 2020 GIPS® Standards,” Chicago, IL, August 15, 2019
- K&L Gates, “2018 Investment Management Conference,” Boston, MA, November 28, 2018
- K&L Gates and ACA Compliance Group, “Top Changes to GIPS® 2020: What You Need to Know,” September 20, 2018
- K&L Gates, “2017 Investment Management Conference,” Boston, MA, November 28, 2017

EDUCATION

- J.D., Boston College Law School, 2007 *cum laude*
- A.B., Hamilton College, 2003 *summa cum laude, Phi Beta Kappa*

ADMISSIONS

- Bar of Massachusetts

LANGUAGES

- Spanish

THOUGHT LEADERSHIP *POWERED BY HUB*

- 16 October 2026, United States: FINRA Opens the Door to Projected Returns
- 1 May 2026, FINRA Meets the Marketing Rule—Mostly: Performance Projections and Targeted Returns under Proposed Amendments to Rule 2210, *The Investment Lawyer*
- 23 February 2026, FINRA Meets the Marketing Rule—Mostly: Performance Projections and Targeted Returns Under Proposed Amendments to Rule 2210
- February 18, 2026, US Asset Management Regulatory Year in Review 2025
- November 2025, 2025 Asset Management and Investment Funds Fall Conference—Boston
- March 2025, SEC Marketing Rule FAQs—New Guidance for Advisors
- 20 March 2025, SEC Marketing Rule FAQs Yield New Guidance
- September 2024, Asset Management and Investment Funds Fall Conference—Boston
- 10 September 2024, Marketing and Advertising Checklist
- 10 September 2024, More Marketing Missteps

- 15 April 2024, Marketing Rule Enforcement Remains Priority: SEC Charges Five Advisers for Marketing Rule Violations
- 9 November 2023, Asset Management and Investment Funds Fall Conferences - Boston
- 13 September 2023, Hypothetical Performance Crackdown: Nine Firms Charged With Violations of Investment Adviser Marketing and Recordkeeping Rules
- 29 March 2023, SEC Proposes Custody Rule Overhaul With Broad Implications for Investment Advisers, Custodians, and Independent Public Accounting Firms
- 6 December 2022, The SEC's Marketing Rule: Open Issues and Looming Sweep Exams
- 20 January 2021, The SEC's Modernized Marketing Rule for Investment Advisers
- 22 September 2020, SEC Proposes Amendments to the Advertising Rules for Registered Funds, BDCs, and ETFs
- 29 April 2020, SEC Proposes New Fair Value Rule 2a-5
- 19 November 2019, SEC Proposes to Modernize the Advertising Rule for Investment Advisers
- 8 November 2019, Questions About The SEC's Proposed Advertising and Cash Solicitation Reform
- 15 August 2019, A First Look at the Final 2020 GIPS® Standards (Chicago)
- 2 July 2019, A First Look at the CFA Institute's Final 2020 GIPS Standards
- 3 October 2018, A Face-Lift for GIPS: CFA Institute Publishes Proposed Revisions to the GIPS Standards in the GIPS 2020 Exposure Draft
- 20 September 2018, GIPS 2020 Exposure Draft: What You Need to Know
- 17 July 2018, Be Careful What you Post - SEC Continues To Focus on the Use of Social Media by Investment Advisers
- 23 May 2018, Calm Before the Storm: Investment Advisers Face Changes to the Advertising Rule, GIPS, and Performance Portability Standards
- 7 June 2017, CFA Institute Commences GIPS 20/20 Initiative

OTHER PUBLICATIONS

- "Key Components of the New Marketing Rule: Part 2," *The Investment Lawyer*, May 2021
- "Key Components of the New Marketing Rule: Part 1," *The Investment Lawyer*, April 2021
- "GIPS 2020 Exposure Draft: What Every Firm Needs to Know," *The Investment Lawyer*, Vol. 26, No. 3, March 2019

NEWS & EVENTS

- 28 February 2024, First Steps in Preparing for the SEC Private Fund Adviser Quarterly Statement Rule
- 13 September 2023, SEC Marketing Rule Developments, Hosted by CFA Institute
- 18 April 2023, K&L Gates Releases Updated Marketing and Advertising Checklist for Investment Industry
- 19 December 2022, K&L Gates Adds 40 Lawyers to Firm's Partnership
- 3 November 2022, 2022 K&L Gates Asset Management and Investment Funds Conference — Boston
- 11 May 2022, What You Need to Be Prepared for This November: New SEC Guidelines, Hosted by the Spaulding Group
- 27 April 2021, Compelling Financial Services Marketing Techniques in Light of the New SEC Marketing Rule
- 24 February 2021, New England Broker Dealer Investment Adviser Association Quarterly Meeting

AREAS OF FOCUS

- Asset Management and Investment Funds
- Broker-Dealers
- Hedge Funds
- Investment Advisers
- Investment Funds
- Portfolio Management, Trading, and Compliance
- Tax
- US Registered Investment Companies