

Marguerite W. Laurent

Partner

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OVERVIEW

Meg Laurent is a partner in the firm's Washington, D.C. office, where she is a member of the investment management, hedge funds, and alternative investment practice group. Meg concentrates her practice on advising registered investment companies, registered investment advisers, and broker-dealers on a broad range of regulatory, compliance, and transactional matters that arise under US federal securities laws. She also advises the independent board members of investment companies on corporate governance and regulatory matters. She currently represents two mutual fund complexes and the independent board members of six mutual fund complexes, among other clients.

PROFESSIONAL BACKGROUND

Prior to joining the firm, Meg was a senior counsel with the US Securities and Exchange Commission, where she conducted routine and risk-based inspections of self-regulatory organizations and nationally recognized statistical rating organizations to ensure compliance with federal securities laws, among other matters.

ACHIEVEMENTS

In 2017, Meg was Awarded “Rising Star” at the 24th Mutual Fund Industry Awards sponsored by *Fund Industry Intelligence and Fund Director Intelligence*. The rising stars are nominated by their peers, mentors, and colleagues for their outstanding work in the broader mutual fund community.

SPEAKING ENGAGEMENTS

- Moderator, “An Evening with SEC Division of Investment Management Director Dalia Blass,” 100 Women in Finance, Washington, DC, June 20, 2018
- Panelist, “New and Emerging Issues in Compliance and Risk Management,” ICI Mutual Insurance Risk Management Conference, Memphis, TN, April 12, 2018

EDUCATION

- J.D., State University of New York at Buffalo Law School, 2007
- M.B.A., State University of New York at Buffalo, 2007
- B.S., State University of New York at Buffalo, 2003

ADMISSIONS

- Bar of District of Columbia
- Bar of New York

THOUGHT LEADERSHIP *POWERED BY HUB*

- 13 October 2026, United States: An Outbound Hole in Your Compliance Manual Can Be Costly
- 8 August 2023, United States: Dead Rules Walking: The SEC Removes Two Zombie Rules
- October 2025, 2025 Asset Management and Investment Funds Fall Conference—Washington, DC
- November 2024, Asset Management and Investment Funds Fall Conference—Washington, D.C.
- 2 November 2023, Asset Management and Investment Funds Fall Conferences - Washington, D.C.
- November 2022, Disclosure Modernization Initiative Webinar Series: Overview
- 27 October 2022, SEC Finalizes Major Changes to Shareholder Report Disclosure Scheme and Investment Company Advertisement Rules
- 9 March 2022, SEC Proposes Cybersecurity Risk Management Rules for Investment Advisers and Funds
- 6 March 2020, COVID-19: Evaluating the Need for In-Person Fund Board Meetings and Other Considerations for U.S. Asset Managers
- 21 March 2019, SEC Staff Eases Certain "In-Person" Board Approval Requirements
- 8 May 2017, Social Media Update: FINRA Releases Additional Guidance on Social Networking Websites and Business Communications
- 11 November 2016, Time to Get With the (Liquidity Risk) Program: SEC Issues Liquidity Risk Management Rule for Open-End Funds
- 1 December 2015, Cybersecurity Update: National Futures Association Adopts Cybersecurity Guidance for Member Firm Information Systems Security Programs
- 29 September 2015, SEC Announces First "Distribution in Guise" Case
- 23 September 2015, OCIE's 2015 Cybersecurity Examination Initiative

OTHER PUBLICATIONS

- "What To Know About SEC Shareholder Disclosure Reforms," *Law360*, 28 October 2022

NEWS & EVENTS

- 14 October 2026, Asset Management and Investment Funds Conference Series—Washington, DC
- 2 November 2022, 2022 K&L Gates Asset Management and Investment Funds Conference — Washington, D.C.
- 6 May 2022, Current Challenges in the Use of Social Media and Electronic Communications, Hosted by the Financial Markets Association
- 2 March 2018, K&L Gates Names 34 New Partners Across Global Platform

AREAS OF FOCUS

- Asset Management and Investment Funds