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SEC's New Beneficial Ownership Reporting Rules

DATE

November 2, 2023
11 a.m.-noon (Eastern)

SPEAKERS



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Joe Engelhard
Senior Counsel,
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Regulation
Alternative
Investment
Management
Association

On October 10, 2023, the U.S. Securities and Exchange Commission adopted a final rule updating its beneficial ownership reporting requirements under Sections 13(d) and 13(g) of the Securities Exchange Act of 1934.

Please join Barnes & Thornburg's Scott Budlong, along with AIMA, for a webinar examining some of the practical considerations of the new beneficial ownership rules. The webinar will review the rule's new reporting deadlines and several practical considerations for investors, including the new guidance from the SEC regarding the formation of a group and under what circumstances cash-settled derivatives will qualify as beneficial ownership.

AIMA appreciates several changes made in the final rule compared to the proposed reporting deadlines, but several challenges may remain regarding the new timing and frequency of reporting for Schedules 13D and 13G.

The webinar will address these and other questions as investors examine the implications of this new rule and what managerial and compliance risks it poses.

Please send any questions that you would like to have discussed to [Joe Engelhard](#) prior to the webinar.

View Barnes & Thornburg's [recent client alert](#) on this subject.

If you cannot attend the program, but are interested in learning more, please [email Scott Budlong](#).

Questions? [Email AIMA](#).