Vanessa Meeks

COUNSEL

Vanessa counsels investment advisers on both registration and ongoing compliance matters.



Practices

Corporate & Securities

Education

Duke University, JD, 2008

Vanderbilt University, BA, 2005

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Vanessa advises a diverse range of investment advisers, including wealth managers, institutional asset managers and private fund sponsors on navigating the complex regulatory framework governing the asset management industry. Her practice focuses on compliance with the Investment Advisers Act of 1940 and the rules and regulations thereunder, including:

- SEC Registration and Reporting: Assisting new and established advisers with Form ADV and Form PF preparation and filing, as well as navigating exemptions from registration.
- Compliance Program Development: Designing and implementing comprehensive compliance policies and procedures tailored to each adviser's unique business model.
- Navigating Regulatory Changes: Monitoring regulatory changes and implementing practical changes to an adviser's compliance program.
- Regulatory Examinations: Preparing advisers for SEC examinations and representing them during regulatory inquiries.
- Marketing and Advertising: Advising on compliance with the SEC's Marketing Rule, including the review of marketing materials, websites, and performance advertising.
- Family Offices: Advising family offices on structuring and compliance under the Family Office Rule, including qualification and ongoing compliance considerations.

Vanessa formerly served as a senior counsel with the U.S. Securities and Exchange Commission (SEC), where she worked in the Division of Investment Management and the Office of Investor Education and Advocacy. She has extensive experience with the Investment Advisers Act of 1940 and Investment Company Act of 1940, including related SEC rulemakings, no-action letters, and exemptive relief. She has had responsibility for advising on enforcement cases and examinations, including an onsite investment adviser examination. Vanessa's experience enables her to provide clients with practical and customized strategies to meet their business and compliance needs.

Life Beyond the Law

Outside of work, Vanessa is an avid equestrian who regularly competes in dressage.

Bar Admissions

District of Columbia
Maryland