



Kevin S. Woodard

Partner Of Counsel

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With more than 20 years experience providing services to investment managers, broker-dealers, mutual funds/private funds and bank wealth management divisions, Kevin has experience as in-house and outside legal compliance counsel at banks and investment organizations.

Before joining DCS, he served as chief compliance officer and chief legal officer for various investment advisers, broker-dealers, private fund advisers, municipal advisers, mutual funds and bank trust/wealth management divisions. He was also the compliance solutions managing director at a law firm.

Kevin created and implemented a program for the outsourcing of chief compliance officer services for investment advisers and municipal advisers, creating Advisers Act and various state required compliance policies and procedure manuals, all ancillary documents necessary for advisers and compliance calendar/monitoring and testing programs. He has spoken at various conferences, including NAPFA Symposiums in Boston, New York, Washington, D.C. and Philadelphia, on topics such as: index annuities; distribution of insurance products through banks; compliance issues for investment advisers; compliance update and frequent compliance mistakes made by investment advisers; and cybersecurity.

Services

- Dinsmore Compliance Services
- Investment Advisers
- Investment Funds & Investment Management

Education

- University of Cincinnati College of Law (J.D., 1991)
- Miami University (B.A., 1988)

Bar Admissions

- Ohio

Court Admissions

- U.S. District Court for the Southern District of Ohio

Affiliations/Memberships

- Cincinnati Bar Association

Publications

February 20, 2025

SEC Enforcement Action Related to Account Type Conversions

January 29, 2025

SEC Enforcement Actions Related to Electronic Communications Recordkeeping Failures

DCS Investment Advisor Alert

January 13, 2025

Summary of Regulation S-P Revisions Applicable to Investment Advisers

DCS Investment Advisor Alert

October 28, 2024

Division of Examinations: SEC Fiscal Year 2025 Examination Priorities for Investment Advisers

DCS Investment Advisor Alert

September 12, 2024

SEC Enforcement Actions Related to the Marketing Rule

DCS Investment Advisor Alert

April 24, 2024

SEC Division of Examinations Risk Alert: Initial Observations Regarding Advisers Act Marketing Rule Compliance

DCS Investment Advisor Alert

April 18, 2024

Internet Adviser Registration Reforms

DCS Investment Advisor Alert

April 12, 2024

Senvest Management Enforcement Action – Electronic Communications

DCS Investment Advisor Alert

October 24, 2023

Division of Examinations: 2024 Examination Priorities for Investment Advisers

September 14, 2023

Investment Advisors: Assessing Risks, Scoping Examinations and Requesting Documents

DCS Investment Advisor Alert

September 14, 2023

SEC Enforcement Actions Related to the Marketing Rule and Hypothetical Performance Data

DCS Investment Advisor Alert

May 5, 2023

Safeguarding Customer Records and Information at Branch Offices

DCS Investment Advisor Alert

April 5, 2023

Division of Examinations Risk Alert, March 27, 2023: Observations from Examinations of Newly-Registered Advisers

February 16, 2023

Division of Examinations: 2023 Examination Priorities for Investment Advisers

DCS Investment Advisor Alert

January 19, 2023

DCS ALERT: SEC Enforcement Action Related to Conflicts of Interest

DCS Investment Advisor Alert

January 12, 2023

DCS Alert: Division of Investment Management Marketing Rule FAQ- January 11, 2023

DCS Investment Advisor Alert

December 14, 2022

Division of Examinations Risk Alert, December 5, 2022: Observations From Broker-Dealer and Investment Adviser Compliance Examinations Related to Prevention of Identity Theft Under Regulation S-ID

DCS Investment Advisor Alert

November 4, 2022

SEC Risk Alert Addresses Upcoming Examinations Relating to the “Marketing Rule”

May 9, 2022

Division of Examinations: 2022 Examination Priorities

May 9, 2022

Division of Examinations Risk Alert: Investment Adviser MNPI Compliance Issues

May 9, 2022

DCS Alert: Investment Adviser Representative Continuing Education Requirements

February 14, 2022

Division of Examinations Risk Alert: Observations from Examinations of Private Fund Advisers

February 14, 2022

Division of Examinations Risk Alert: SEC Proposes Cybersecurity Risk Management Rules

December 6, 2021

Division of Examinations Observations: Investment Advisers' Fee Calculations

December 6, 2021

Observations from Examinations of Advisers who Provide Electronic Investment Advice

October 27, 2021

Update Regarding the Department of Labor Fiduciary Rule

August 25, 2021

Observations from Examinations of Investment Advisers Managing Client Accounts That Participate in Wrap Fee Programs

August 25, 2021

Observations Regarding Fixed-Income Principal and Cross Trades by Investment Advisers from an Examination Initiative

July 27, 2021

Best Practices in Share Class Reviews

July 12, 2021

Preparing for the Full Implementation of the DOL Fiduciary Rule

March 12, 2021

Division of Examinations, Feb. 26, 2021: Continued Focus On Digital Asset Securities

February 10, 2021

New York Investment Adviser Representative Registration

January 6, 2021

OCIE Risk Alert - Observations from Examinations of Broker-Dealers and Investment Advisers: Large Trader Obligations

November 24, 2020

OCIE Observations: Investment Adviser Compliance Programs

November 18, 2020

OCIE RISK ALERT: Supervision, Compliance, and Multiple Branch Offices

October 21, 2020

OCIE RISK ALERT—Cybersecurity: Ransomware Alert

3rd Quarter Investment Advisers Newsletter

October 21, 2020

Select COVID-19 Compliance Risks and Considerations for Broker-Dealers and Investment Advisers

October 21, 2020

OCIE RISK ALERT—Cybersecurity: Safeguarding Client Accounts against Credential Compromise
3rd Quarter Investment Advisers Newsletter

October 21, 2020

SEC Roundtable to Discuss Reg BI and Form CRS
3rd Quarter Investment Advisers Newsletter

October 21, 2020

SEC Enforcement Action – VALIC Financial Advisors
3rd Quarter Investment Advisers Newsletter

October 16, 2020

SEC Issues Additional Form CRS Guidance

July 23, 2020

Dealing with Vulnerable Investors and Financial Exploitation

July 16, 2020

Examinations Focusing on Compliance with Form CRS

July 16, 2020

Observations from Examinations of Investment Advisers Managing Private Funds

July 16, 2020

LIBOR Transition Preparedness

July 16, 2020

SEC Enforcement Action against Morgan Stanley Smith Barney for Providing Misleading Information to Retail Clients

July 16, 2020

SEC Orders Three Self-Reporting Advisory Firms to Reimburse Investors over Improper Share Class Selection Disclosure

July 16, 2020

SEC Charges California Trader for Manipulative Trading Scheme Involving COVID-19 Claims

June 22, 2020

Municipal Advisors Granted Relief under SEC's Temporary Conditional Exemption

April 30, 2020

Paycheck Protection Program Disclosure Requirements: UPDATE

April 17, 2020

Paycheck Protection Program Disclosure Requirements

April 13, 2020

DCS Investment Advisers Newsletter

1st Quarter 2020

April 10, 2020

OCIE Risk Alerts: Have You implemented Regulation BI and Form CRS?

April 6, 2020

Regulation Best Interest and Form CRS

March 27, 2020

Cybersecurity and Privacy Concerns to Keep in Mind for Remote Work

Investment Advisers Alert

July 12, 2018

Senior Financial Abuse Update

DCS Investment Advisers Update Q2

July 12, 2018

SEC Share Class Selection Disclosure Initiative (“SCSD”) Update

DCS Investment Advisers Update Q2

July 12, 2018

SEC Division of Investment Management Updates to Custody Rule Frequently Asked Questions

INVESTMENT ADVISERS UPDATE Q2

February 20, 2018

SEC Announces Share Class Selection Disclosure Initiative

INVESTMENT ADVISERS SPECIAL ALERT

February 12, 2018

SEC Office of Compliance Inspections and Examinations Issues 2018 National Exam Program Examination Priorities

INVESTMENT ADVISERS SPECIAL UPDATE

February 12, 2018

SEC Releases Update to 2018 Agenda of Regulatory Priorities

INVESTMENT ADVISERS UPDATE Q4 2017

February 8, 2018

Q4 2017: Municipal Advisor Exam Results

MUNICIPAL ADVISERS QUARTERLY UPDATE