



## 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

### 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**

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

September 20, 2017

**Revised Form ADV Part 1A Becomes Effective October 1, 2017**  
INVESTMENT ADVISERS SPECIAL UPDATE

May 24, 2017

**DOL Fiduciary Rule Will Not Be Further Delayed**