



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

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