



COREY L. ZARSE

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Corey Zarse focuses his practice on financial services firms, particularly private investment funds, investment advisers, investment companies, and broker-dealers. He supports financial services clients as they navigate complex regulatory requirements in their daily business operations and in situations that may arise in special circumstances.

Corey counsels clients on complex matters relating to regulatory, compliance, securities offerings, and transactions, including mergers, acquisitions, and joint ventures. He has extensive experience advising clients on the regulatory aspects of investment fund formation, operation, and structure. His practice also includes advising on responding to regulatory issues raised by the SEC, counseling advisers and fund officers regarding compliance and operational issues, organizing and registering investment companies, preparing for and responding to SEC examinations, and other matters relating to the operation of investment funds.

EDUCATION

Indiana University (J.D. 2006; Federal Communications Law Journal; Dean's List; President, Business and Law Society Co-organizer, Entrepreneurship Law Clinic; M.B.A. in Finance 2006, with a minor in Entrepreneurship; Faculty-selected member, Investment Banking Academy; Top Speaker, Big Ten Case Competition); Butler University (B.S. in Accounting cum laude 1999, with high honors in Accounting Program)

PUBLICATIONS

October 2020

SEC Proposes Conditional Exemption from Broker-Dealer Registration for Finders

September 2020

SEC Expands Accredited Investor and Qualified Institutional Buyer Categories

August 2020

SEC's OCIE Issues Risk Alert on COVID-19 Risks and Considerations for Broker-Dealers and Investment Advisers

August 2020

FINRA Shares LIBOR Transition Preparation Practices of Broker-Dealers

June 2020

SEC Staff Announces Examination Initiative on LIBOR Transition Preparedness

June 2020

SEC Again Urged to Regulate ESG Disclosures

March 2020

What's in a Name? SEC Seeks Comment on Rules Regarding Investment Company Names, Continues Focus on ESG

OCIE Publishes Its 2020 Examination Priorities

December 2019

SEC Scrutinizing ESG Funds