DORSEY
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David Tang

Partner

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DAVID SPECIALIZES IN PROVIDING REGULATORY COMPLIANCE COUNSELING TO REGISTERED INVESTMENT ADVISERS, INCLUDING PRIVATE FUND MANAGERS.

David has advised registered investment advisers on more than 200 SEC examinations. He leverages the information gained from these representations to advise private fund managers on their compliance programs and best practices, and to navigate SEC examinations. David also conducts mock audits designed to prepare investment advisers for SEC examinations.

David counsels investment advisers, including exempt reporting advisers, on the design and implementation of compliance policies and procedures, including the code of ethics, personal trading, marketing, insider trading, expert networks, best execution, investment allocation, valuation, expense allocation, conflicts of interest, business continuity, cybersecurity, and recordkeeping.

David regularly advises investment managers on compliance with new rules and regulatory requirements. He also advises U.S. and international investment advisers on SEC and state registration requirements and available exemptions.

David's advice draws from a wealth of in-house experience, having served as chief compliance officer and senior counsel to SEC-registered investment management firms.

In addition, David has deep experience in the formation and representation of private funds, advising on offering documentation, investment management agreements, separate account agreements, solicitation agreements, seed capital arrangements, side letters, employment matters, non-compete and non-solicit agreements, non-disclosure agreements, brokerage agreements, and service provider agreements.

Education

- University of California, Los Angeles (UCLA), School of Law (J.D., 2002)
- Binghamton University (B.A., Economics and History, 1996)
  - *magna cum laude*

Bar Admissions

- New York

Select Experience

- David has successfully represented numerous investment advisers on registration with the SEC and examinations by the SEC's Division of Examinations.
- David has conducted mock audits designed to prepare investment advisers for SEC examinations.

Insights

June 22, 2026

SEC Risk Alert Puts Investment Adviser Conflicts of Interest Back in Focus

May 11, 2026

SEC Increases Qualified Client Thresholds for Charging Performance Fees

December 30, 2025

SEC Issues New Risk Alert on the Marketing Rule

December 24, 2025

2026 Private Funds Compliance Calendar

December 19, 2026

Observations on the SEC's 2026 Examination Priorities

November 3, 2025

Deadlines for 2026 IARD Renewal Program

July 8, 2025

Investment Adviser Compliance with FinCEN's AML/CFT Rule

6/23/2025

SEC Withdraws 14 Proposed Rules

December 19, 2024

2025 Private Funds Compliance Calendar

November 14, 2024

Deadlines for 2025 IARD Renewal Program

August 21, 2024

Partner David Tang Discusses Impact of Recent Cybersecurity Crises on Financial Services Industry

July 31, 2024

David Tang Shares Observations on SEC's Recent Constraints After Several Judgements

June 10, 2024

SEC Adopts Amendments to Expand the Requirements of Regulation S-P for Registered Investment Advisers and Broker-Dealers

June 6, 2024

Fifth Circuit Strikes Down SEC’s Private Fund Advisers Rule

June 3, 2024

RIA Regulatory Review