StradleyRonon

Lawrence P. Stadulis

Partner -- Co-Chair, Broker-Dealer

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Co-chair of the firm's broker-dealer practice, Lawrence Stadulis is well-versed in matters pertaining to the registration and regulation of investment advisers and investment companies under federal and state securities laws. He also manages related issues involving the Employee Retirement Income Security Act (ERISA), broker-dealer regulation and banking laws.

In response to the ever-evolving rules and regulations involving fiduciary and best interest obligations, Larry helped form the firm's fiduciary governance practice in 2018. The team leverages their technical understanding of federal and state fiduciary rules to advise investment committees and intermediaries — such as investment advisers, banks, broker-dealers, retirement plan/IRA service providers, insurance providers and mutual fund directors — across regulatory schemes.

Larry is also a routine presenter of the firm's Financial Services Broker-Dealer Workshop series, which covers current topics of interest relating to broker-dealer activity. A sought-after thought leader on legal matters pertaining to the investment management industry, Larry frequently authors articles distilling complex U.S. Securities and Exchange Commission (SEC) rulemaking.

Larry is a former special counsel in the Office of Chief Counsel for the SEC's Division of Investment Management. In this role, Larry was principally responsible for responding to no-action and interpretive requests under the Investment Company Act of 1940 and Investment Advisers Act of 1940.

Featured Representative Matters

- Represented Pacific Life in the sale of its third-party credit asset management firm, Pacific Asset Management LLC, which at closing managed over $20 billion, to Aristotle Capital Management LLC.
- Pacific Asset Management Acquired by Aristotle
- Centurion Group Sold to Marsh & McLennan Agency
- Beijing Phoenix JinXin Investment Management Launches Robo-Adviser Trading Capabilities
- Pacific Life Sells Pacific Global Advisors Solutions Business to Goldman Sachs

Services

- Broker-Dealer
- Common & Collective Trust Funds
- Emerging Companies & Venture Capital
- ERISA & Employee Benefits
- Investment Advisers
- Investment Management
- Insurance Funds
- Investment Management Mergers & Acquisitions
- Private Investment Funds
- Registered Investment Funds
- Securities & Regulatory Enforcement
- Financial Services Litigation & Enforcement

Education

- Boston College Law School (J.D.)
- Boston College (B.A., *magna cum laude*)

Memberships

- Member, Stradley Ronon Inclusion Committee

Recognitions

- *Chambers USA* (Nationwide: Investment Funds: Registered Funds)

Featured Speaking Engagements

- Panelist, “Understanding Custody in the Current Landscape and Beyond,” 2025 COMPLYConnect Conference and Expo
- Panelist, “Understanding the SEC’s Proposed Rule for Safeguarding Client Assets,” COMPLYConnect Conference and Expo
- Moderator, “Securities Law and Practice 2023: How the SEC Works,” Practising Law Institute
- Presenter, "Financial Services Regulatory Workshop," Stradley Ronon CLE
- Panelist, “Trading for Investment Advisors: Building from the Fundamentals,” COMPLYConnect Conference and Expo
- Speaker, “Practice Steps to Achieve ESG Compliance for Investment Advisers and Private Funds/Equity (IA),” National Regulatory Services
- Co-instructor, “Books and Records Requirements for Investment Advisers,” National Regulatory Services
- Co-instructor, “Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act,” National Regulatory Services
- Panelist, “Securities Law and Practice 2020: How the SEC Works,” Practising Law Institute Workshop
- Co-instructor, “Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements,” National Regulatory Services
- Co-instructor, “Form ADV Part 1: Annual Updating Amendment and More,” Investment Adviser Certified Compliance Professional Webinar
- Panelist, “Finders and Unregistered Broker-Dealers: Understanding the Risks and Recent Developments,” Strafford Webinar
- Panelist, “The SEC’s Proposed Amendments to the Advisers Act Advertising Rule,” Stradley Ronon, Foreside Financial Group and Fidelity Investments Webcast
- Presenter, “What Directors Need to Know about Regulation Best Interest and the Standards of Conduct Rulemaking Package,” Mutual Fund Directors Forum
- Panelist, “Regulation Best Interest and Other New SEC Standards of Conduct: Impact on Broker-Dealers, Investment Advisers and Investment Companies,” Strafford Webinar
- Panelist, “Closed-End Fund Regulatory and Compliance Issues,” Investment Company Institute’s Closed-End Fund Conference

Admissions

- District of Columbia
- New York