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Tarik M. Shah
Special Counsel

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Counsels private funds on compliance with the Investment Advisers Act of 1940, other state and federal requirements and interfacing with regulators.

Tarik's experience includes advising clients on establishing compliance policies and procedures, registering with the SEC and handling SEC examinations.

Before joining Schulte, he worked at the SEC, most recently in the Private Funds Unit of the Office of Compliance Inspections and Examinations, where he focused on regulatory examinations of advisers to hedge funds and private equity funds.

Tarik also worked in the SEC's New York Regional Office, where he conducted regulatory examinations of registered investment advisers and registered investment companies.

Practices

INVESTMENT MANAGEMENT

REGULATORY AND COMPLIANCE

Bar Admissions

New York

New Jersey

Education

Rutgers School of Law-Newark, J.D.

- Managing Articles Editor, *Rutgers Computer and Technology Law Journal*

Tufts University, B.A.

Publications

- “SEC Division of Examinations Releases 2024 Examination Priorities – What Private Fund Managers Should Know,” *Schulte Alert*, Oct. 31, 2023
- “SEC Marketing Rule Update: Additional Focus Areas in Examinations,” *Schulte Alert*, June 23, 2023
- “The SEC’s Staff Issues a New Marketing Rule FAQ on Net Performance Requirements,” *Schulte Alert*, Jan. 18, 2023
- “SEC Marketing Rule Update: What Private Fund Advisers Should Be Thinking About as the November 4 Compliance Date Approaches,” *Schulte Alert*, Sept. 20, 2022
- “SEC Custody Rule Update: Takeaways from Recent Enforcement,” *Schulte Alert*, Sept. 19, 2022
- “SEC Examinations: What Private Fund Managers Can Expect in 2022,” *Schulte Alert*, April 19, 2022
- “United States,” *The Private Equity Review*, April 2022
- “SEC Proposes Cybersecurity Risk Management,” *Schulte Alert*, Feb. 10, 2022
- “SEC Seeks to Shorten the Standard Settlement Cycle to T+1,” *Schulte Alert*, Feb. 10, 2022
- “SEC Proposes New Rules for Private Fund Managers,” *Schulte Alert*, Feb. 9, 2022
- “SEC Identifies Private Fund Deficiencies, Signifying Increased Industry Scrutiny,” *Harvard Law School Forum on Corporate Governance*, Feb. 2022
- “SEC Identifies Private Fund Deficiencies, Signifying Increased Industry Scrutiny,” *Schulte Alert*, Jan. 31, 2022
- “SEC Focus on Private Fund Valuation Practices,” *Reuters Westlaw*, May 11, 2021

- Securities Enforcement Quarterly, *Schulte Publication*, April 2021
 - “SEC Examinations Update: 2021 Examination Priorities,” *Schulte Alert*, March 4, 2021
 - “Recent Short Squeezes,” *Schulte Alert*, Jan. 28, 2021
 - “Performance Testing Guide for Private Fund Managers,” *Bloomberg Law*, July 2020
 - “SEC Form CRS: OCIE Announces Examination Focus,” *Schulte Alert*, April 10, 2020
 - “The SEC’s Focus on Value-Added Investors,” *The Hedge Fund Journal*, September 2019, co-author
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Speaking Engagements

- “Form ADV Part 1: Annual Updating Amendment and More,” Investment Adviser Association Webinar, April 2024
 - “Enforcement and Examinations,” 33rd Annual Schulte Private Capital Forum, January 2024
 - “SEC Focus: Alternative Data, Electronic Communications and Expert Networks,” Schulte 32nd Annual Private Investment Funds Seminar, January 2023
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Prior Experience

- US Securities and Exchange Commission, 2015-2017
- Constellation Advisers, 2014-2015
- Goldman Sachs, 2013-2014