

Wendell Faria

Partner



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Overview

Wendell is a member of the Corporate and Capital Markets practices in the Washington, D.C. office. He focuses his practice on the regulation of investment companies and investment advisers, general securities regulation, and the structuring and operation of private investment funds, including hedge funds, private equity funds, and real estate funds. In addition, Wendell frequently advises clients on status questions and opinions issued under the Investment Company Act of 1940 in connection with equity and debt offerings by US and non-US issuers, as well as financing transactions involving US and non-US companies. Wendell also advises on status questions arising under the “covered fund” provisions of the Volcker Rule.

Wendell spent approximately seven years at the US Securities & Exchange Commission in Washington, DC, in the Division of Investment Management. He served as the Deputy Chief and the Acting Chief of the Division’s Office of Insurance Products, responsible for the regulation of certain equity-oriented insurance contracts (such as variable annuities, variable life insurance policies, and modified guaranteed annuities). He worked on the Division’s special study of investment companies and investment advisers that culminated in the 1992 report entitled “Protecting Investors: A Half Century of Investment Company Regulation.”

Before joining Dentons, Wendell spent several years at an international law firm, where his practice focused on the regulation of investment companies and investment advisers, private investment funds, and general securities regulation. In addition, Wendell’s practice at that firm focused on addressing status questions and opinions issued under the Investment Company Act, and status questions arising under the “covered fund” provisions of the Volcker Rule.

Wendell served as an Adjunct Professor of Law at Georgetown University Law Center, where he taught securities law and as a Lecturer-at-Law at University of Pennsylvania Law School, where he taught a course on investment management regulation.

Insights

- Co-author, "What family offices should know about HR 4620, a bill requiring more family offices to register with the SEC," Dentons client alert, August 6, 2021
- “SEC Proposes Rule Designed to Permit Certain ETFs to Operate Without an Exemptive Order and Adopts

Amendments to the Liquidity Rule,” July 02, 2018

- “SEC’s Division of Investment Management Releases Guidance on Risk Disclosures Related to Current Market Conditions,” March 18, 2016
- “SEC’s Division of Investment Management Releases Guidance on Mutual Fund Distribution and Sub-Accounting Fees,” January 14, 2016
- “SEC Charges Investment Adviser and Mutual Fund Board Members with Failures in 15(C) Advisory Contract Approval Process,” June 29, 2015
- “SEC Releases Frequently Asked Questions Related to Valuation Guidance and to Money Market Fund Reforms Adopted in July 2014,” April 30, 2015
- “SEC Issues Guidance Update Regarding Enhanced Mutual Fund Disclosure,” July 02, 2014
- “CFTC Adopts Final Harmonization Rules,” August 16, 2013
- “SEC Chief Counsel Cautions Newly Registered Private Fund Advisers on Broker-Dealer Registration Issues Relating to In-House Marketing and Other Activities,” April 22, 2013
- “SEC and CFTC Adopt Rules to Help Protect Investors from Identity Theft,” April 18, 2013
- Contributing Author, “Variable Annuities & Variable Life Insurance Regulation,” Practising Law Institute, 2012
- Contributing Author, “Mutual Funds and Exchange Traded Funds Regulation,” Practising Law Institute, 2012
- Speaker, “Conference on Collective Trust Funds: Current Banking, SEC, and ERISA Regulatory and Compliance Issues,” American Law Institute/American Bar Association – May 2011

Activities and Affiliations

- Member, American Bar Association
- Committee on Federal Regulation of Securities
- Subcommittee on Investment Companies and Investment Advisers
- Subcommittee on Hedge Funds
- Subcommittee on Securities Law Opinions

Areas of focus

Practices

- Corporate
- Capital Markets
- Equity Capital Markets
- Debt Capital Markets
- Securitizations
- Capital Markets Regulatory Compliance
- Securities and Corporate Finance

- Investment Funds and Income Trusts
- Cross-Border Securities and Corporate Finance
- Compliance
- Investment Advisors
- Investment Companies

Industry sectors

- Financial Institutions
- Family Office and High Net Worth

Education

- Baruch College, The City University of New York, BBA, Accountancy
- University of California, Berkeley, School of Law, JD

Admissions and qualifications

- District of Columbia
- Pennsylvania

Languages

- English