



William J. Kotapish

OF COUNSEL

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Overview

Bill Kotapish is a regulatory lawyer with more than three decades of experience in financial products, including serving as assistant director in the Securities and Exchange Commission's Division of Investment Management, overseeing the Office of Insurance Products. He advises investment companies, investment advisers, and life insurance companies on securities compliance and regulatory matters.

In his 20-year career with the SEC, Bill oversaw the review of variable product and underlying mutual fund registration statements, consideration and disposition of exemptive applications, and requests for no-action relief and interpretive guidance. Bill was deeply involved in establishing and updating standards for disclosure for a variety of financial products, including variable life insurance and indexed annuities. He advised SEC staff on legal and regulatory issues affecting SEC-registered insurance products and underlying mutual funds, rulemaking, and other initiatives.

Bill is a frequent speaker on regulatory issues, including appearing on panels for the ALI CLE Conference on Life Insurance Company Products and PLI. He also previously served for more than 15 years as an adjunct professor at the Catholic University of America, where he taught a course on the regulation of investment companies and investment advisers.

Areas of Focus

Practices

Industries

- Financial Services Regulatory
- Life, Annuity, and Retirement Solutions
- Securities Transactions and Compliance
- Corporate Law and Governance
- Investment Funds
- Life, Annuity, and Retirement Solutions
- Securities & Investment Companies
- Life, Annuity, and Retirement Solutions

Insights

11.03.2022

Defined Outcome Investment Options for Variable Contracts

09.08.2022

NAIC Proposes Actuarial Guidelines for Index-Linked Variable Annuities

03.02.2021

SEC Limits Need for Substitution Applications

News

02.09.2021

SEC Veteran William J. Kotapish Joins Carlton Fields; Bolsters Firm's Financial Services Regulatory Practice

Speaking Engagements

- Integrity Marketing Group LLC Compliance Summit (2023)
- "Variable Products and Related Disclosure, Regulatory, and Accounting Developments," ALI CLE Conference on Life Insurance Company Products, Washington, D.C. (November 3-4, 2022)
- "Variable Insurance Products," ALI CLE Conference on Life Insurance Products, Washington, D.C. (November 4-5, 2021)

Credentials

Education

- Catholic University of America, Columbus School of Law (J.D., 1987)
- University of Virginia (B.A., 1977)

Bar Admissions

- District of Columbia

Background

- Securities and Exchange Commission, Assistant Director, Division of Investment Management, Office of Insurance Products (1999–2020)