

## Corporate Compliance and Governance

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- Provided advice to investment advisors with respect to the creation of a registered investment advisory firm, including preparation of the Form ADV and related brochures, the Client Management Agreement, the Compliance Manual and the Privacy Policy.
- Counseled investment advisors and RIA firms about their responsibilities under the Investment Advisors Act of 1940, the Investment Company Act of 1940, and compliance requirements promulgated by the Securities and Exchange Commission.
- Provided compliance-related advice to registered investment advisory firms, and represent firms and individuals in SEC, NYSE and FINRA regulatory investigations and inquiries.
- Represented registered investment advisory firms in connection with the purchase and sale of other RIA firms.
- Counseled businesses with respect to the enforcement or defense of non-compete and non-solicitation agreements.
- Acted as outside general counsel of privately held businesses, providing advice with respect to ownership, duties of officers and directors, the rights of shareholders, and corporate governance and regulatory issues.