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Description automatically generatedCandidate Name**

**$5B Hedge Fund**, New York, NY **April xxxx – Present**

*General Counsel*

* Created and established entire legal and compliance infrastructure; successfully registered management entities with the SEC; managed all regulatory issues, including responding to regulatory inquiries and managing licenses, certifications and exemptive filings; and conducted internal investigations
* Provided key support to the firm’s strategic growth as it transitioned to a more institutional firm; regularly met with plan consultants and institutional investors including US and non-US pension plans, foundations, endowments and sovereign wealth fund investors and prospective investors, supporting the firm's growth in AUM from $1.6 billion to over $3 billion in two years
* Advise on all legal, compliance and regulatory issues including management company and general partner issues; governance and operations; HR and personnel; regulatory and litigation matters; investor relations; insurance; investments; and fund formation and new product offerings
* Created and established institutional grade global compliance policies and procedures, including a cybersecurity policy and incident response plan
* Generated significant six figure legal and compliance savings in first year
* Set up co-investment vehicles and related compliance policies and procedures
* Manage contracts for complex commercial transactions, and all other agreements with clients, vendors, and counterparties, including side letters, trading and consulting agreements
* Advise on MNPI issues, manage expert network firms and chaperone calls
* Review all marketing materials and fund related documents and agreements
* Regularly meet with institutional investors, plan consultants and other allocators
* Provide multiple compliance trainings including for general compliance, cybersecurity, and HR matters
* Manage all regulatory filings, including SEC and HSR filings
* Advised on all legal, compliance and regulatory issues including management company and GP issues; governance and operations; HR and personnel; regulatory and litigation matters; investor relations; real estate; insurance; investments; IP matters; and fund formation and new product offerings
* Reduced the firm’s external legal spending from $1.4 million annually to $475,000 in the first year
* Created and implemented global compliance policies and procedures, including drafting global compliance codes and manuals and conducting compliance training sessions globally
* Provided reports and legal advice to the Board of Directors of both the firm and its funds
* Negotiated contracts for complex commercial transactions, and all other agreements with clients, vendors and counterparties, including side letters, trading, technology and consulting agreements
* Monitor global regulatory developments and counsel on compliance with all applicable laws across business lines.
* Interpret and apply Investment Advisers Act of 1940 (Advisers Act) and applicable rules thereunder to the firm’s RIAs, including advising on Form ADV and policies and procedures.
* Maintain and oversee commodity pool operator (CPO) and commodity trading adviser (CTA) program for firm’s registered CPOs and CTAs, as well as applicable exemptions from registration.
* Established and maintain firm’s trust company and support its management of commingled pools for qualified plan investors, including compliance with ERISA and applicable state banking laws.
* Advise on compliance with Investment Company Act of 1940 and applicable rules thereunder with respect to mutual funds and ETFs advised and sub-advised, including review and maintenance of relevant fund documentation and policies and procedures.
* Manage responses to various regulatory examinations and inquiries.
* Oversee negotiation and documentation of derivatives and trading agreements, as well as vendor contracts, licenses and non-disclosure agreements.
* Review private equity investments, including drafting term sheets
* Establish and maintain quantitative, commodity and alternative funds, and manage associated documentation, including offering memoranda, management agreements, operative agreements and subscription documents.
* Support managed accounts for institutional investors, as well as digital investment platforms for retail investors.
* Assist business development group with marketing efforts, including advising on legal and regulatory requirements relating to managing funds and accounts in international jurisdictions and managing accounts for various state-sponsored governmental entities.
* Advise on all employment, immigration and benefits-related legal issues and potential litigation, including executive compensation, HR policies and separation agreements.

**Top Tier Law Firm**, New York, NY **June xxxx – March xxxx**

*Corporate Associate*

* Represented acquirors and sellers, including private equity firms, at all stages of mergers, acquisitions, and dispositions in various industries (e.g., power generation, manufacturing, energy trading and retail); advised clients on a range of issues related to M&A transactions
* Drafted and negotiated merger and stock purchase agreements, subscription agreements, shareholder agreements, operating agreements, and ancillary documents
* Supervised legal due diligence teams, working closely with strategic and financial acquirors to conduct diligence review and analyze targets

**Education**

**ABC University School of Law**, New York, NY **May xxxx**

*Juris Doctorate Degree*

**XYZ University**, New York, NY **May xxxx**

*Bachelors of Arts Degree*

* Cum Laude