

## Education

- Cornell Law School, JD; *Cornell International Law Review*, Editor
- Colgate University, *Cum Laude*, BA

## Practices & Industries

- Corporate

## Admitted to Practice

- Connecticut
- New York
- Massachusetts

## Court Admissions

- US District Court for the District of Connecticut

## Biography

John is a leading investment funds and financial institutions attorney with over 30 years of government, corporate in-house, and AmLaw 100 law firm transactional and litigation experience. John concentrates his practice on transactions and litigation involving the Advisers Act; the Investment Company Act; laws and regulations governing the offer, sale, ownership, and trading of registered and exempted securities, commodities, futures, swaps, and derivatives products. He also represents client on transactions and litigation involving ERISA, the Internal Revenue Code, the Bank Secrecy/USA Patriot Act, and other federal and state laws affecting the investment and trading activities and business practices of US and foreign investment advisers, investment companies, hedge funds, private equity and venture capital funds, CTAs, CPOs, broker-dealers, banks and bank holding companies, insurers, pension plans, sovereign wealth entities, family offices, and tax-exempt organizations.

John has substantial experience as a transactional, regulatory, and compliance attorney in the alternative and registered funds industries. He has advised on the formation and operation of and allocation of capital to a vast array of venture capital, private equity, real estate, and hedge funds pursuing diverse and innovative strategies in markets and asset classes throughout the world. John has also advised on the development of innovative registered investment products often derived from these strategies. He has advised RIAs, fund sponsors, capital allocators, management teams, and boards and committees on a breadth of transactional, market conduct, and governance issues and disputes, including in high-profile civil, regulatory, and criminal matters. During the course of his practice, John has worked directly with principals, operational and investment personnel, and US and foreign regulatory and enforcement agencies, such as the SEC, CFTC, FINRA, NFA, FRB, FinCEN, FSA/FCA, and CIMA.

Notably, John has served as lead securities counsel on a landmark accountants professional liability case stemming from the insolvency of Colonial Realty Corp., a multibillion-dollar Ponzi scheme that drained the retirement accounts of tens of thousands of investors and led to the closure of several regional banks in what was to become the largest real estate syndication fraud ever perpetuated in the United States at that time.

## Bar Associations

- Connecticut Bar Association, Financial Institutions Section, Former Chairman

## Selected Memberships & Affiliations

- Managed Funds Association, Former Member and Former Connecticut Liaison to the Connecticut Hedge Fund Association
- Connecticut Hedge Fund Association, Former General Counsel and Director and Former Director of Regulatory and Legislative Affairs
- The Hedge Fund Association, Former Member
- Association for Corporate Growth, Former Member
- Connecticut Venture Group, Former Member and Former Director

## Prior Experience

- Quantitative Management Group, Managing Partner and Chief Operating Officer
- Greenberg Taurig LLP, Hedge Funds Group, Shareholder and Global Head
- Bracewell & Giuliani LLP, Private Funds and Investors Group, Partner and Head
- McCarter & English LLP, Investment Funds Group, Partner and Co-Head
- Edwards & Angell LLP, Private Equity and Venture Capital Group, Partner
- LeBoeuf LLP, Investment Management Group, Partner
- Brown Raysman LLP, Private Equity Group, Counsel
- Farrell Corporation, Vice President, General Counsel, and Secretary
- DeGeorge Financial Corporation, Vice President, Deputy General Counsel & Assistant Secretary
- Edwards & Angell LLP, Private Equity and Venture Capital Group, Associate
- Office of the Connecticut Attorney General, Finance and Antitrust Divisions, Assistant Attorney General
- Office of the Connecticut Banking Commissioner, Banking and Securities Divisions, Assistant Counsel

## Selected Community Activities

- Colgate University Alumni Association, Colgate Club of Central Connecticut, President; Willow Society, Member; President's Club, Member; Robert Fox Partnership, Contributing Partner
- Brunjes Family Trust

## Selected Honors

- Selected to *Super Lawyers* Connecticut: Securities & Corporate Finance, 2006–2007

## Selected Speaking Engagements

- FRA Hedge Fund Operations and Compliance Conference, “Due Diligence From the Manager’s Perspective,” Panelist
- FRA Family Office Symposium, Co-Chairman
- Connecticut Hedge Fund Association Global Alpha Forum, “The Rise (and Fall?) of Sovereign Wealth Funds,” Moderator
- FRA Family Office Symposium, “Impact of Proposed Family Office Adviser Registration Rules on SFOs and MFOs”
- MFA Hedge Fund Regulation & Enforcement Conference, “FINRA, State Attorney Generals, and Private Litigation: How to Face Other Players in the Field of Hedge Fund Enforcement and Litigation,” Panelist

## Selected Media

- Bloomberg News interview regarding the impact of impending regulatory requirements on the private investment funds industry, Global Alpha Forum
- *Hedge Fund Law Report*, “Connecticut Welcomes You! Federal Financial Regulatory Reform Restores Connecticut’s Authority Over Hedge Fund Advisers”
- Hedgefund.net, “New York to Drop Hedge Fund Tax”
- *FINalternatives*, “Specter of Regulation Looms Large Over Hedge Funds, P.E.”
- *Cayman Financial Review*, “Which Way, the Stream of Time? The 2010 Economic and Regulatory Outlook for US Hedge Funds”