

Top Performing
Law Firm
Prequin Special Report

27 attorneys ranked
as *SuperLawyers* and
2 attorneys ranked
as *SuperLawyers*
Rising Stars

Advised more than
50 new hedge fund
launches and 40
closed end fund
launches across
numerous types of
strategies and
structures

Represented over 1/3 of
the Top 200 hedge fund
managers (based on
gross fund assets
managed)

Closed more than 80
PE, VC, real estate,
debt and other
private transactions

Negotiated over 50
seed, accelerator,
platform and
investment manager
M&A transactions

Seward & Kissel
Regulatory
Compliance (SKRC)
shortlisted as
'Best Advisory Firm –
Regulation &
Compliance'
(first ever law firm to
be recognized) by
HFM US Services
Awards

Advised on over
60 exams with
various regulators

Closed over 75
CLO transactions

Represented over 75
clients in various SEC,
DOJ, FINRA, OFAC and
other white collar &
regulatory matters

Advised on more than
100 investment adviser
compliance programs

Acted as monitor for
multi-manager
investment adviser
pursuant to SEC order

Provided counsel on
over 35 manager or
fund restructurings

Acted as fund/trustee
counsel to over 235
registered funds with
approximately \$250
billion in AUM,
including some of the
largest fund
complexes

Structured over 40
ERISA hard-wired
plan asset funds

Effective January
2020, Kevin
Neubauer was
promoted to Partner
in Investment
Management

Noteworthy Activities

- Released New Hedge Fund Study (Ninth Edition)
- Released Hedge Fund Side Letter Study (Fourth Edition)
- Released Form ADV Study
- Expanded offering of SKRC compliance services
- Sent out over 75 IM-related client alerts
- Hosted Fourth Annual Private Funds Forum
- Developed novel CLO auction mechanic & warehousing facilities

PARTNERS & COUNSEL SERVING INVESTMENT MANAGEMENT CLIENTS

Bank Regulatory

Paul T. Clark

Bankruptcy & Distressed Investments

Arlene R. Alves
John R. Ashmead
Y. Daphne Coelho-Adam
Robert J. Gayda

Broker-Dealer Regulation

Anthony C.J. Nuland
Valentino Vasi

Business Transactions

James E. Abbott
Gerhard Anderson
Meir R. Grossman
Nick Katsanos
Craig A. Sklar

Corporate Finance & Derivatives

Gregg Bateman
Jeffrey M. Berman
Sharan Calay
Greg B. Cioffi
Kalyan "Kal" Das
Kimberly A. Giampietro
Lauri K. Goodwyn
James H. Hancock
Craig T. Hickernell
David R. Johnson
Hoyoon Nam
Michele "Miki" Navazio
Andrew Robertson
Lawrence Rutkowski
Andrew Silverstein
Michael S. Timpone
Robert A. Walder

Corporate Securities, Capital Markets & Activism

Keith Billotti
Edward S. Horton
Andrei A. Sirabionian
Anthony Tu-Sekine
Gary J. Wolfe

ERISA, Tax, Trusts & Estates

Derick W. Betts, Jr.
Jon P. Brose
Ronald P. Cima
James C. Cofer
Daniel C. Murphy
Michael E. O'Brien
Peter E. Pront
S. John Ryan
Scott M. Sambur
Hume R. Steyer
David E. Stutzman
Lori A. Sullivan

Investment Management

Daniel Bresler
Christopher D. Carlson
Robert L. Chender
Debra A. Franzese
Maureen R. Hurley
Lancelot A. King
Robert M. Kurucz
Paul M. Miller
Joseph M. Morrissey
David R. Mulle
Steven B. Nadel
Kevin Neubauer
Patricia A. Poglinco
Christopher C. Riccardi
David Tang
Robert B. Van Grover

Litigation, Employment & Intellectual Property

Beth H. Alter
Michael G. Considine
Rita M. Glavin
Ross Hooper
Mark J. Hyland
Mark D. Kotwick
Brian P. Maloney
Michael J. McNamara
Anne C. Patin
Bruce G. Paulsen
Julia C. Spivack
Jack Yoskowitz

Real Estate

Mark A. Brody
Rhona J. Kisch
Adam D. Lesnick
Ian Silver

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