

# 6TH ANNUAL Investment Management Regulatory University

## SPEAKER BIOGRAPHIES



**James B. Carlson**

*New York*

Jim is a partner in the Corporate & Securities practice. He advises business and corporate clients on acquisitions-related work and on securities matters. His acquisitions experience includes public and private mergers and acquisitions and private equity transactions, including leveraged buyouts, recapitalizations and spin offs. His securities experience includes investment grade and high yield debt securities, both publicly offered and privately placed, and initial public offerings. [Full bio >](#)



**Rory M. Cohen**

*New York*

Rory is a partner in the Corporate & Securities practice. Rory focuses his practice on advising private investment funds, including hedge funds, private equity funds and real estate funds, in matters relating to fund formation, the distribution of fund interests, broker-dealer and investment adviser registration and compliance and private equity transactions. He also provides counsel in response to regulatory inquiries and other issues arising under the Investment Advisers Act, Investment Company Act and FINRA rules and on the structuring of seed investments, revenue sharing arrangements, portfolio manager lift-outs, spin-outs, mergers and acquisitions and other transactions involving investment management entities. Rory represents clients including private fund sponsors, separate account managers, broker-dealers and institutional investors and managers. [Full bio >](#)



**Robert P. Davis**

*New York and Washington DC*

Bob is a partner in the Litigation practice. Bob is widely acknowledged as one of the nation's leading legal authorities and litigators working across a broad spectrum of employment and ERISA issues. He handles trial and appellate ERISA litigation and represents plans, fiduciaries, plan sponsors, and service providers in ERISA investigations and litigation. His victories in the ERISA area include denial of class certification on employer stock claims; interlocutory appeal and vacatur of class certification of ERISA

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fiduciary claims in a 100,000+ persons class action; successful defense at trial, resulting in a defense judgment affirmed on appeal, of one of the first major “stock drop” cases; winning summary judgment, affirmed on appeal, on all of the substantial claims in a major LMRA § 301/ERISA class action; dismissal of a stock drop case complaint with prejudice against plaintiffs; and successful defense of several national-level ERISA investigations by the US Department of Labor. [Full bio >](#)

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**Adam D. Kanter**

*Washington DC*

Adam is an associate in the Corporate & Securities practice. He focuses his practice on counseling domestic and non-US investment advisers, investment companies, and other financial services firms on a variety of regulatory, compliance, enforcement, and transactional matters. Adam has advised clients on a wide range of investment management matters, including formation, registration, and ongoing compliance issues of investment companies and investment advisers. He has also assisted clients in adapting to new regulations, such as the custody rule and pay to play rule under the Investment Advisers Act of 1940, and the amended money market fund rule under the Investment Company Act of 1940. [Full bio >](#)

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**Elizabeth M. Knoblock**

*Washington DC*

Elizabeth is a partner in the Corporate & Securities practice. She focuses her practice on the federal, state and international laws governing the investment management of mutual funds, hedge funds and private accounts, including institutional, retail and wrap-fee clientele. Elizabeth previously practiced as General Counsel and Senior Vice President with Templeton Investment Counsel, Inc., as well as in various legal capacities with the following firms: Kidder Peabody & Co. Inc.; Gruntal & Co., Incorporated; Shearson Lehman Hutton Inc.; E.F. Hutton & Co. Inc.; the Division of Investment Management of the United States SEC; and the Office of the General Counsel of the CFTC. Elizabeth is a member and former Director of the National Society of Compliance Professionals. [Full bio >](#)

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**Stephanie M. Monaco**

*Washington DC*

Stephanie is a partner in the Corporate & Securities practice. Her practice focuses on investment company and investment adviser regulation and compliance with the federal Investment Company Act of 1940 and the Investment Advisers Act of 1940 and related laws. Stephanie advises a variety of registered investment companies; hedge funds; private equity funds; investment advisers; and other entities seeking either to become registered or to structure their business affairs to avoid registration and

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regulation. She also has experience providing advice concerning the inter-relationship of these practice areas and other related practice specialties, such as broker-dealer regulation, transfer agent regulation and ERISA matters. Prior to entering private practice, Stephanie worked at the SEC, Division of Investment Management in the Chief Counsel's office from 1983 until 1986, and from 1988 until 1991 as a Branch Chief in the Office of Investment Company Regulation. [Full bio >](#)

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### **John W. Noell, Jr.**

*Chicago*

John is a partner in the Corporate & Securities practice. In the course of his practice, John represents issuers in private placements of partnership interests, debt and common stock and sponsors of real estate investment funds for investment by institutional and other investors. In addition, he negotiates and structures joint-venture arrangements, and he represents buyers and sellers in stock and asset acquisitions and mergers. [Full bio >](#)

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### **Tim Nosworthy**

*London*

Tim is a partner in the Corporate & Securities practice. He advises on a wide range of investment fund, regulatory and asset management matters, with a particular focus on the structuring and formation of real estate, private equity and infrastructure funds. He also advises prospective fund investors and in connection with secondary transactions in fund interests. [Full bio >](#)

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### **Lennine Occhino**

*Chicago*

Lennine is a partner in the ERISA and Private Investment Fund practices. Since joining the firm in 1988, Lennine has concentrated exclusively in the pension investment area, advising on the structuring and offering of alternative investment vehicles of all types to ERISA and government plans and other institutional investors, including onshore and offshore hedge funds, private equity funds, real estate funds, infrastructure funds, group trusts, bank collective trusts, insurance company separate accounts, REMICs and REITs. Lennine also advises plan sponsors, trustees, investment managers, and other fiduciaries with respect to their fiduciary obligations and compliance procedures. She has extensive experience representing clients in connection with Department of Labor prohibited transaction exemption and advisory opinion requests, as well as audits and enforcement actions brought by the Department of Labor. [Full bio >](#)

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### **Amy Ward Pershkov**

*Washington DC*

Amy is a partner in the Corporate & Securities practice. Amy's practice focuses on investment companies, investment advisers and financial institutions. She assists clients with a wide variety of investment management matters, including: the formation, registration, ongoing operation, compliance and reorganization of investment companies and investment advisers; preparation of exemptive applications, "no-action" letter requests, registration statements and forms, proxy statements, compliance procedures, corporate documents and other regulatory and business filings and documents. She also advises investment advisers and investment companies, including mutual funds, funds of funds and closed-end funds on various matters, including: advertising, custody, personal trading, securities lending, anti-money laundering, privacy and Sarbanes-Oxley issues affecting investment companies and investment advisers. [Full bio >](#)

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### **Matthew A. Posthuma**

*Chicago*

Matt is a partner in the Corporate & Securities practice. He focuses on the formation of private investment funds and other transactions involving real estate companies, asset managers and financial institutions worldwide. Matt handles open- and closed-end funds with a wide range of investment strategies, such as real estate (including core, value-added and opportunistic), private equity, infrastructure, debt, hedge, global and foreign country funds. He also has experience in joint ventures, mergers & acquisitions, venture capital and other corporate and securities transactions. [Full bio >](#)

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### **Elizabeth A. Raymond**

*Chicago*

Libby is a partner in the Corporate & Securities practice. She focuses on mergers and acquisitions and capital market transactions for financial institutions including finance companies, asset managers and commercial and investment banks. Her experience includes public and private mergers and acquisitions, representing bidders, targets and financial advisors; private equity, hedge fund and joint venture investments; and corporate governance for public and private companies. She also has extensive experience with public and private offerings, representing issuers and underwriters on matters such as asset securitization, leasing, term debt and equity, Rule 144A offerings and initial public offerings. [Full bio >](#)

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### **Richard M. Rosenfeld**

*Washington DC*

Rich is a partner in the US Securities Litigation & Enforcement practice. He represents financial institutions, funds, companies and individuals in a variety of business, regulatory and compliance issues. He advises on transactions, policies and procedures, investigations, regulatory enforcement and litigation before the SEC, other financial services regulators and the US Department of Justice. Earlier in his career, he served in the Division of Enforcement at the SEC. [Full bio >](#)

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### **Andrew S. Rosenman**

*Chicago*

Andrew is a partner in the Litigation practice. He is an experienced litigator whose practice particularly emphasizes labor and employment litigation and counseling on behalf of employers. In the course of his litigation and employment law practice, Andrew represents clients in a broad variety of actions, including: Trials, Class and Collective Actions, Appellate Cases, Individual Claims, Administrative Proceedings and Mediations. [Full bio >](#)

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### **Lee H. Rubin**

*Palo Alto*

Lee is a partner in the Litigation practice. He is a civil and criminal litigator with extensive experience in private practice and in the government, where he served as a prosecutor in the Department of Justice and as an Assistant United States Attorney for the District of Columbia. He has also served as lead counsel in a number of internal corporate investigations, and has been involved in numerous private securities fraud and antitrust matters. He has represented companies and individuals in export control investigations, securities fraud and antitrust and tax investigations and prosecutions conducted by the Department of Justice, as well as in civil enforcement investigations and actions by the SEC, Department of State and IRS. [Full bio >](#)

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### **Jonathan A. Sambur**

*Washington DC*

Jon is a partner in the Tax Transactions practice. Jon's practice is focused on US federal tax issues affecting US businesses operating outside the United States as well as US federal tax issues affecting foreign businesses and individuals operating in the United States, including planning, structuring/restructuring, deferral/subpart F, foreign tax credit, tax treaties, legislative and regulatory work, and related controversy matters. Jon works very closely with our Financial Services, Regulatory & Enforcement practice by providing US federal income tax advice to non-U.S. financial institutions and

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non-US investment funds, including advice related to the information reporting and withholding tax rules contained in recently-enacted Chapter 4 of the Internal Revenue Code (FATCA) and US withholding tax/qualified intermediary (QI) issues. Jon frequently speaks to industry groups and writes articles on US tax issues affecting non-US financial institutions. [Full bio >](#)

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### **Joseph Seliga**

*Chicago*

Joe is a partner in the Government & Global Trade practice. He practices in the area of state and local government law, representing public sector and private sector clients in a wide array of transactional, legislative and regulatory matters. He regularly counsels clients on ethics, lobbying and political contribution regulations, including the application of these regulations to investment advisers and placement agents. [Full bio >](#)