

JOHN DOE

Financial Services Attorney
New York City, NY



Results-driven '40 Act financial services attorney with 20+ years of experience representing investment advisers, ETF sponsors, private funds, startups, and Fortune 100 companies on investment management, securities regulation, and complex transactional matters. Brings an **entrepreneurial** approach with holistic client representation via an embedded counsel model. **Self-starter** and **tech-savvy** within a **remote-first environment**. Seeking a lateral move to a modern law firm.

EXPERIENCE

Partner | Am Law 100 Firm

2015 - Present

- Maintain **\$500K+ portable book of business** serving investment advisers, ETF sponsors, mutual funds, and financial services clients.
- Advise on investment management regulation, fund structuring, securities compliance, and cross-border matters.
- Provide tax guidance as embedded legal counsel, focusing on Section 351 transactions.

Senior In-House Counsel | Fortune 500 Company

2000 - 2015

- Led strategy for corporate governance, regulatory compliance, legal spend, and risk management.
- Advised on investment management, securities matters, and corporate transactions.
- Managed negotiation of \$10B+ transactions involving regulated financial products and institutional counterparties.

AWARDS & ADMISSIONS

- Recognized among Top 25 Attorneys by Super Lawyers
- Admitted, New York State Bar and U.S. Tax Court

ATTRIBUTES

- **Entrepreneurial**
- **Tech-Adopting**
- **Self-Starting**
- **Business-Minded**
- **Solution-Oriented**
- **Client-Ownership Focused**
- **Independence-Driven**
- **Collaborative**

COMPETENCIES

- 1940 Act Legal Services
- Investment Management
- ETF Transactions
- Fund Structuring
- Mergers & Acquisitions
- Cross-Border Transactions
- Contract Negotiation
- Risk & Compliance Advisory
- Securities Regulation & Compliance
- Remote & Hybrid Practice Management