

Investment Funds

Mintz Levin's technical experience, intricate understanding of applicable laws, and ability to think outside the box allow us to aide clients in a cost-effective manner.

Our practitioners regularly counsel and represent private equity funds, venture capital funds, real estate funds, hedge funds, energy funds, angel funds, business development companies, mutual funds, registered closed-end funds of funds, and fund managers in all aspects of their activities. We can assist you with services including product development, structuring, and formation as well as matters involving tax issues for US and non-US investors and taxable and tax-exempt investors, private and public offerings, compliance policies and procedures under relevant statutes (including 1940 Act, 1933 and 1934 Acts, Sarbanes-Oxley, CEA) and rules (SEC, CFTC, NFA, state securities regulators), and the establishment and maintenance of appropriate operating policies and procedures, including securities and ERISA issues involved at each of those stages.

In the investment counsel field, our firm has become a national leader. One of our long-standing areas of experience is serving the particular needs of institutional investors, mutual funds, insurance companies, asset managers, endowments, pension funds, investment advisors, trusts, and other large investors. Our investor-side representation gives us a broad view of current market terms when advising fund sponsors. Our investor-side clients include many of the nation's most prominent investors in municipal debt and private equity as well as a variety of investors in corporate debt and equity securities. Of special note, we played a key leadership role in developing structures to deal with recent institutional investor liquidity constraints.

In addition to our transactional practice, members in our group have deep experience in regulatory and compliance issues affecting private equity funds, venture capital funds, hedge funds, registered funds and their managers, including issues arising under the Investment Company Act of 1940, the Investment Advisers Act, the Commodity Exchange Act, ERISA, and broker-dealer/FINRA regulations and state laws. The Investment Funds Practice provides practical regulatory and compliance advice, stemming from our understanding of what in-house counsel need and expect. Team members include a former in-house counsel to a \$15 billion hedge fund of funds, and a former SEC lawyer and House Financial Services Committee Counsel who also formerly served as chief anti-money laundering and US sanctions officer at Fidelity Investments as well as statutory AML officer for each of Fidelity's US mutual funds, broker-dealers, and banking entities in addition to a UK asset manager and a money services business. We regularly counsel clients on drafting compliance policies and procedures, regulatory examinations, and provide day-to-day advice on issues including performance, advertising, and brokerage and portfolio trading practices. We are on the cutting edge of advising our clients on regulatory changes, and regularly speak and publish on regulatory issues affecting funds and fund managers.



Quick Facts

- Worked with alternative investment funds since institutional investors began investing in the mid-1970s
- Involved in hundreds of fund formations
- Helped develop many now-standard fund provisions, such as clawback and blocker structures
- Played a leadership role in developing structures to deal with recent institutional investor liquidity constraints
- Maintain a diverse client base of private equity, venture capital, hedge, real estate, energy, and debt funds
- Investment management team includes members with fund experience as principals

Representative Funds

- Energy
- Debt
- Hedge funds and commingled investment products
- Investment companies and business development companies (BDCs)
- Private equity
- Real estate
- Venture capital

Connect

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