

ASSET MANAGEMENT AND PORTFOLIO MANAGEMENT

Our experts bring deep experience managing assets across a wide range of fund types, including mutual funds, sovereign funds, fund of funds (FoF), hedge funds, credit opportunity funds, ERISA funds, real estate investment trusts (REITs), private funds, and both discretionary and non-discretionary managed funds and accounts.

Our team has provided expert opinions on issues such as prudent investments, asset diversification, management and incentive fees, duties and responsibilities of investment managers, and fund compliance with investment objectives and governing documents. We also address representations to investors, fiduciary duties, and standards of care and loyalty.

With a strong focus on regulatory compliance, our experts possess in-depth knowledge of key regulations such as the Investment Advisers Act and the Investment Company Act, among others, particularly in connection with fiduciary and advisory duties and responsibilities.

SEDA experts have extensive experience responding to examinations and inquiries from regulatory bodies in the US, EU, EMEA, and APAC, working on cases involving hedge funds, private equity, venture funds, separately managed accounts, mutual funds, and ETFs, as well as large asset management and private equity firms.

In addition, SEDA experts have established or enhanced compliance programs for numerous registered investment advisers. They have drafted and implemented over a hundred compliance policies and procedures and developed numerous surveillance and reporting systems to support internal monitoring and fulfill regulatory and exchange requirements across multiple jurisdictions.

Areas of Expertise:

- Registered Investment Advisers (RIA) Compliance and Investigations
- ERISA Funds
- Ponzi Schemes and Asset Misappropriation
- Asset and Portfolio Management (Sovereign Funds, Hedge Funds, Mutual Funds, Private Equity, and VC Funds)
- Wealth Management

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EXPERTISE

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- **Registered Investment Advisers (RIA) Compliance and Investigations:** Our experts possess extensive experience in assisting entities and individuals facing regulatory investigations from various authorities, including the Securities and Exchange Commission (SEC) and the Financial Industry Regulatory Authority (FINRA), among others.

We collaborate with clients in both consulting and litigation contexts, guiding them to comply with key rules applicable to registered investment advisers and funds, such as the Investment Advisers Act (IA Act) and the Investment Company Act (IC Act), enforced by the SEC. Our experts provide insights into fiduciary duties and best market practices for investment advisers, covering prudent investment, diversification, duty of care, best execution, and more.

- **ERISA Funds:** Our experts have delivered written reports and testimony in multiple class action litigation cases filed by ERISA plan participants against investment advisers and asset managers for alleged breaches of fiduciary duty, lack of investment prudence, and misrepresentation in offering materials and governing documents.

Given that ERISA funds are subject to stricter compliance requirements than other private funds, investment advisers and managers must handle these funds in strict adherence to the relevant rules and regulations.

- **Ponzi Schemes and Asset Misappropriation:** SEDA Experts has provided expert opinions and testimony on disputes involving alleged misappropriation of assets and funds by asset managers and investment advisers, as well as on Ponzi schemes conducted by these professionals.

Addressing such matters requires expertise in fund and asset management, including a clear understanding of roles and responsibilities across involved parties—such as custodians, sub-custodians, fund administrators, trustees, and prime brokers—and of complex fund structures, including master-feeder structures and fund flow dynamics. These cases also demand forensic and investigative analysis, which SEDA Experts is well-equipped to perform.

- **Asset and Portfolio Management (Sovereign Funds, Hedge Funds, Mutual Funds, Private Equity, and VC Funds):** Asset and portfolio management varies widely based on fund type and asset class. Our experts have managed all fund types across diverse asset classes. Different funds feature distinct structures, governance frameworks, risk profiles, and regulatory requirements, and our experts have navigated each while leading practices globally at prominent hedge funds, investment banks, broker-dealers, asset and portfolio managers, and private equity firms.
- **Wealth Management:** Wealth management traditionally encompasses money management, financial planning, investment advice, estate planning, accounting, life insurance, retirement, and tax services. Our experts have overseen large wealth management funds and plans for both institutional clients and high-net-worth individuals.

EXPERTS

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Richard A. Marin
Managing Director

Richard Marin as a former finance senior executive with over 40 years of investment banking industry experience, and as a former clinical professor at Cornell University is a world class testifying expert in asset management, alternative investments, private equity investments, securities lending, retirement and pensions, and real estate / project financing.

Former
Bear Stearns Asset Management - Chairman and CEO Chairman and CEO
Deutsche Asset Management - Chairman and CEO Chairman and CEO

Expertise
Asset Management, Alternative Investments, Private Equity Investments, Securities Lending, Retirement and Pension, ERISA Funds Investment Standards, Real Estate / Project Financing



Joanne M. Hill
Managing Director

Joanne has over 30 years of experience in leadership roles in investment strategy at investment banks and asset managers with a focus on index and quantitative products, derivatives, along with volatility and risk management. She currently serves as Chief Advisor for Research and Strategy at Vest Financial, a fund manager, specializing in option-based investments.

Former
ProShares - Head of Institutional Investment Strategy
CFA Institute Research Foundation - Chair and Board Member

Expertise
Investment Strategy EFTs DIndex and Quantitative Products Option-based Investments Volatility Risk Management Strategy



Natasha Kassian
Managing Director

Natasha Kassian has over 30 years of buy-side experience providing legal and compliance guidance to registered investment advisers across a broad range of products, asset classes, investment strategies, and jurisdictions. She has served in roles including General Counsel and Chief Compliance Officer for firms that manage hedge funds, private equity funds, venture funds, retail and institutional separately managed accounts, mutual funds, and exchange-traded funds.

Former
Citadel Americas LLC - Aptigon - Chief Compliance Officer
Millennium Management LLC - Global Head of Corporate and Regulatory Compliance

Expertise
Buy-Side Legal and Compliance, Regulatory Examinations, Inquiries and Investigations



Edward Baker
Managing Director

Edward Baker has enjoyed a 40 plus year career in the investment management business, with a focus on ESG investing, quantitative investing and corporate governance. He is currently an advisor to climate change and extreme risk modelling firm Tipping Frontier.

Former
The Cambridge Strategy - Executive Chairman
Alliance Capital - CEO Alliance Capital UK, Director Emerging Markets Research, CIO Global Emerging Markets Equities

Expertise
ESG Investing, Corporate Governance, Quantitative Investing, Risk Management



James N. Lane
Managing Director

Jim Lane has over 35 years of Wall Street experience as a private equity and investment professional. In his career Jim created and led two highly successful private equity firms. One of these groups, Goldman Sachs' PIA, is now one of the largest alternative investment firms in the world and the second, SG Capital Partners, generated top quartile investment returns.

Former
Société Générale - Chairman & CEO, SG Capital Partners
Goldman Sachs - General Partner, Co-Head, Principal Investment Area (PIA)

Expertise
Private Equity, Alternative Investments, Corporate Finance



Robert Ohrenstein
Senior Advisor

Robert Ohrenstein is a market-leading transaction adviser to private equity and similar investors. His career includes leadership roles at KPMG, where he served as Global Head of Private Equity and Vice Chair, as well as advisory positions in various commercial and charitable organizations.

Former
KPMG - Vice Chair, Global Head of Private Equity

Expertise
Private Equity Transactions, Pre-transaction Due Diligence, SPA Pricing Mechanics, Closing Accounts Disputes, Financial Reps and Warranties

EXPERTS

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Alfred G. Jackson
Managing Director

Alfred G. Jackson has over 40 years' experience in financial markets where he was a leader in the field of equities research and valuation as well as Managing Partner in a successful Registered Investment Adviser (RIA). In his long career at Credit Suisse First Boston Mr. Jackson was consistently voted the #1 analyst for the food category.

Former
Credit Suisse First Boston - Global Head of Securities Research

Expertise
Cash Equities, Equities Research, Valuation, Registered Investment Advisers



Kurtis S. Plumer
Managing Director

Kurtis S. Plumer is a seasoned leveraged finance executive with over 30 years of experience in bankruptcy, restructuring and workouts. He has a deep expertise in managing investments across various asset classes, including leveraged loans, high-yield bonds, distressed debt and structured products. His career spans roles in credit portfolio management, distressed investing, and restructuring.

Former
WhiteStar Asset Management – Managing Director Head of Restructuring and Workout
Highland Capital Management – Partner Portfolio Manager

Expertise
Restructuring Workout Private Credit CLOs High Yield Bonds Leveraged Loans Asset Management