



Joan L. Grant

COUNSEL

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AREAS OF EXPERTISE

Investment Funds & Advisers, Corporate Securities, Mergers & Acquisitions, Venture Capital

Overview

Ms. Grant specializes in representing investment advisers, including organizing domestic and offshore private investment funds. She offers clients experienced and practical advice across all aspects of their legal needs, including contracts between fund organizers and investors (including seed and strategic investors), finders and placement agents, fund structuring and amendments, navigating state and federal investment adviser and commodity adviser registration and ongoing compliance. She has helped clients develop the regulatory and compliance aspects of non-traditional advisory arrangements, such as on-line advisory platforms, and has advised clients about international investor ownership and tax reporting requirements.

In addition, Ms. Grant has also assisted clients with buying and selling privately held businesses, license agreements, executive employment agreements, private placements of debt and equity and privacy and data breach requirements. She has worked extensively in negotiations between the owners of private business and preparing LLC operating and limited partnership agreements as a result of those negotiations.

Publications/Speaking

“Compliance Programs Rules and Strategies for Managing Your Annual Review”, co-presenter at NRS webinar, December 5, 2019

“Advisers Act Anti-Fraud Rules” and “Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts”, co-presenter at programs at NRS Investment Adviser Symposium, June 4 and 5, 2019

“Books and Records Requirements for Investment Advisers” and “Two Persistent Challenges: Insider Trading and Advisory Contracts,” co-presenter at NRS Investment Adviser Symposium, June 5, 2018

“Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors, and Proxy Voting Requirements,” co-presenter at NRS Investment Adviser Symposium, June 6, 2017

“Side Letters, Separate Accounts And Sleeves – Investors Who Want It Their Way,” co-leader of roundtable lunch event of the Association of Women in Alternative Investments, November 4, 2015

“FATCA Considerations for Private Fund Managers,” featured speaker for webcast by ACA Compliance Group, July 10, 2014

“Building a Compliance Culture — A View from the Trenches,” co-leader of roundtable lunch event of Association of Women in Alternative Investments, June 12, 2014

Co-author of [U.S. Regulation of Hedge Funds](#) (2nd edition, American Bar Association, 2013)

Professional Activities

Ms. Grant is a member of the Business Law Section of the California State Bar and the Bar Association of San Francisco.

Education

Kansas State University
B.S. in finance and political science, Honors Program, 1979

Northwestern Pritzker School of Law
J.D., 1983

Northwestern Kellogg Graduate School of Management
MBA, 1983

Admissions

California State Bar, 1983

Accolades

