

Anthony J. Caldwell

PARTNER

415-773-7322 acaldwell@sflaw.com

With more than two decades of experience, Anthony Caldwell is a trusted advisor to investment advisers and other businesses navigating complex legal issues and transactions.

Recent News: Shartsis Friese Recognized in Chambers 2026 Global Guide for Hedge Fund Law

Anthony provides strategic legal counsel to clients on a wide range of regulatory matters and commercial transactions. He emphasizes practical solutions to complex problems.

Commercial Finance

For both lenders and borrowers, Anthony negotiates revolving credit facilities, subscription lines, term loans and other credit facilities. He also advises on note offerings and other private debt placements.

Shareholder Reporting

Anthony counsels investment advisers, institutions and high-net-worth investors on reporting obligations under sections 13 and 16 of the Securities Exchange Act of 1934, including filing Schedules 13D and 13G, as well as Forms 3 and 4. In addition, Anthony analyzes stock

AREAS OF EXPERTISE

Investment Funds & Advisers

Corporate

Credit & Direct Lending Funds

Hedge Funds

Private Equity Funds

Real Estate Funds

Venture Capital & Growth Equity Funds

Corporate Securities

Debt Financing

Mergers & Acquisitions

Venture Capital & Emerging Companies

EDUCATION

UCLA School of Law; J.D., 1998

Purdue University; B.A., history and political science, *with distinction*, 1995

BAR ADMISSIONS

California

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transactions for statutory insiders and negotiates settlements of section 16(b) claims.

Private Investment Fund Formation

A seasoned attorney in private investment fund formation, Anthony advises clients in establishing and operating hedge funds, real estate investment funds, venture capital funds, private equity funds, credit funds and other alternative investment vehicles. He advises on fund structuring, disclosure obligations, securities offerings and regulatory compliance.

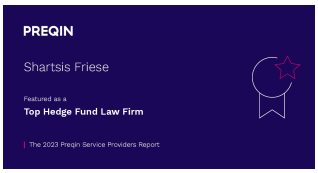
Investment Adviser Compliance

Anthony counsels investment advisers on all matters relating to their organization and operation, including structuring, regulatory compliance, and employment matters. He also negotiates mergers and acquisitions of advisory firms.

Corporate Legal Counsel

In addition, Anthony regularly advises clients regarding general corporate matters, including entity formation, employment agreements, private securities offerings and venture capital investments.

ACCOLADES





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