Genna Garver

Partner

New York

genna.garver@troutman.com

D 212.704.6045



OVERVIEW

Genna provides targeted, practical advice to asset managers and financial services industry participants. She routinely advises clients on SEC and state investment adviser, broker-dealer, and private fund regulation; Investment Advisers Act compliance programs, annual reviews, and ongoing compliance matters; and regulatory examinations and investigations. Genna is the co-leader of the firm's Digital Assets + Blockchain team and represents a wide range of digital asset industry participants, including managers, investors, and platform and infrastructure providers. She also has extensive experience representing financial holding companies, banks, insurance companies, and other institutions in a variety of M&A transactional and regulatory matters.

Genna frequently advises private fund manager clients on formation and offering matters for both domestic and offshore funds. The private funds Genna advises implement a variety of investment strategies and structures, including hedge funds, private equity funds, private credit funds, funds of funds, and other managers. Genna also represents institutional investors, funds of funds, and family offices in connection with their private fund investments. Clients value her close, personal attention as they navigate the complex maze of investment regulation.

Genna is a former member of the board of directors of the National Association of Compliance Professionals and its Regulatory Advisory Committee and also served as chair of its SEC Comment Letter Subcommittee, providing input on the SEC's Crypto Task Force and proposals for the Investment Advisers Act marketing rule, outsourcing rule, private fund advisers, and compliance reviews. A sought-after speaker and author, Genna co-hosts *The Crypto Exchange* podcast and writes on issues in this space for the firm's financial services blog.

She regularly presents at industry events on various aspects of securities law. Genna is actively involved in numerous women's and diversity initiatives in the financial services industry and is an active participant and a committee co-chair of 100 Women in Finance.

AWARDS

- Recognized as Citywealth Powerwomen Awards USA "Champion of the Year" (Bronze), 2024
- Recognized as one of the "Trailblazing Women" by ION Analytics, 2023
- Highlighted as Change-maker by DRIVEN Professionals, March 2020
- Top 25 EB-5 Attorneys, *EB5Investor*, 2013

©2026 Troutman Pepper Locke

- Team Member, Corporate Board Member magazine and FTI Consulting Inc., one of “America’s Best Corporate Law Firms,” 13th Annual Legal Industry Study, 2013

TOP AREAS OF FOCUS

- Corporate
- Digital Assets + Blockchain
- Financial Services
- Investment Funds + Investment Management Services
- Private Equity

PROFESSIONAL/COMMUNITY INVOLVEMENT

- Member, National Society of Compliance Professionals, 2010-present
  - Member, Board of Directors, 2022-2025
  - Member, Regulatory Advisory Committee, 2022-2025
- Member, New York Alternative Investment Roundtable, 2019-present
- Member, 100 Women in Finance, 2010-present
  - Co-chair, CT/Westchester Committee, 2020-present
  - Member, Scholarship Committee, 2010-2020
- Board member, St. Luke’s School Alumni Association, 2012-2020
- Alumni Admissions volunteer, Bowdoin College, 2009-present

EDUCATION AND CERTIFICATIONS

EDUCATION

- Northeastern University School of Law, J.D.
- Bowdoin College, B.A., *cum laude*

BAR ADMISSIONS

- New York
- Massachusetts
- Connecticut

SPEAKING ENGAGEMENTS

- Speaker, “Advisers to Private Funds,” Fundamentals of Investment Adviser Regulation 2026, November 19, 2026.
- Speaker, “Emerging Technologies: AI and Digital Assets in the Private Funds Industry panel,” National Society of Compliance Professionals’ Compliance Seminar for Private Fund Managers, April 21, 2026.
- Speaker, “Digital Assets and Crypto: What CCOs Need to Know Now,” 2026 ACA Conference, April 17, 2026.
- Speaker, “Executive Funds Network: A Practical Primer on Digital Assets for Fund CFOs,” Executive Funds Network, March 31, 2026.
- Speaker, “Crypto, Digital Assets & Tokenized Payments,” 2026 CCBCA Winter Conference, February 25, 2026.
- Speaker, “Fundamentals of Investment Adviser Regulation 2025,” PLI, November 12, 2025.

- Speaker, “Marketing and Sales of Private Fund Interests,” NSCP National Conference, October 26, 2025.
- Speaker, “NYC CCO Lunch n’ Learn,” ACA, September 17, 2025.
- Speaker, “Sale of Private Fund Interests: Navigating the Regulatory Thicket,” Compliance Seminar for Private Fund Managers, April 22, 2025.
- Speaker, “Application and Management of Fiduciary Duties for Private Fund Advisers,” 2024 NSCP National Conference, October 29, 2024.
- Speaker, “The SEC’s Proposed Safeguarding Rule: Implications for Qualified Custodians and Advisers,” Institute for Portfolio Alternatives, July 17, 2024.
- Panelist, “Brainstorming Session,” The FundBank Spotlight, May 15, 2024.
- Moderator, “2024 Economic Outlook with Diane Swonk, KPMG Chief Economist,” 100 Women in Finance, January 17, 2024.
- Speaker, “Liability Management in the Private Fund Manager Context,” 2023 National Conference of the National Society of Compliance Professionals, October 17, 2023.
- Speaker, “The SEC’s Private Fund Rules — What You Need to Know,” 2023 National Conference of the National Society of Compliance Professionals, October 17, 2023.
- Speaker, “The New Private Fund Reforms— Legal and Compliance Considerations,” Fairview Investment Services Webinar, October 12, 2023.
- Speaker, “Advisers Act Fundamentals: What You Need to Know,” PLI Fundamentals of Investment Adviser Regulation 2023, June 28, 2023.
- Moderator, “Catching Up With the SEC’s Division of Examinations,” NSCP Regulatory Interchange, May 27, 2023.
- Speaker, “2023 Debt Investment Outlook: Challenges and Opportunities,” ACG NY 10th Annual Women of Leadership Summit, April 19, 2023.
- Speaker, “Women in Compliance Breakfast,” Waystone, December 7, 2022.
- Speaker, “PF – The New Rule for Private Fund Advisers (Intermediate),” 2022 NSCP National Conference, October 18, 2022.
- Speaker, “Managing CCO Liability in Uncertain Times,” NSCP National Conference, November 10, 2021.
- Speaker, “Unpacking Changes to Advertising and Solicitor Rules for Investment Advisers,” NRS 2021 Virtual Spring Conference, May 18, 2021.
- Guest speaker, “Courage, Compassion and Action: Promoting Diversity & Inclusion With Genna Garver and Kimberly N. Ellison-Taylor,” PLI *in*Securities podcast, May 6, 2021.
- Speaker, “Men as Allies,” New York Alternative Investment Roundtable (AIR) – DEI Workshop, March 25, 2021.
- Speaker, “Ethics for Advisers – Part 2,” IAA’s Investment Adviser Compliance Conference, March 4, 2021.
- Panelist, “Investment Adviser Marketing Rule Update: Investment Management and Private Funds — What’s Happening Now?,” Troutman Pepper, February 23, 2021.
- Speaker, “Advertising Regulation: Understanding and Preparing for the SEC’s Newly Adopted Modernized Marketing Rule,” RegEd, February 18, 2021.
- Moderator/Host, “Men as Allies,” ACC Global, October 28, 2020.
- Speaker, “Advertising-Solicitor Rule Proposals,” NRS Virtual Fall Compliance Conference, October 27, 2020.
- Speaker, “Women in Compliance,” NSCP Fall Conference, October 20, 2020.
- Moderator/Host, “Men as Allies,” September 2020.
- Moderator, “Global Webinar: Managing your Greatest Asset – Perspectives on HR Challenges Near and Far,” 100 Women in Finance, August 3, 2020.
- Speaker, “Advertising Regulation: An Update on the SEC’s Proposed Rule Changes,” RegEd Webinar, July 30, 2020.

- Panelist, Pepper Hamilton's Private Funds Event, May 2020.
- Moderator/Panelist, "Update on Government Programs to Support Businesses Affected by COVID-19", 100 Women in Finance, April 22, 2020.
- Panelist, "SEC's Proposed Advertising Rule," NSCP Spring Conference, April 20, 2020.
- Panelist, "Private Funds Securities Laws Exemptions," Strafford Webinar, March 25, 2020.
- Moderator, NSCP Women in Compliance, January 2020.
- Speaker, SEC's Proposed Advertising Rule Webinar, *Regulatory Compliance Watch*, December 3, 2019.
- Speaker, "When Is an Advertisement Deemed to be Misleading?," NSCP National Conference, October 21-23, 2019.
- Speaker, NRS Fall 2019 Compliance Conference, October 15-18, 2019.
- Moderator, "Afternoon Keynote/Fireside Chat," 2019 Private Funds Forum, Troutman Sanders, September 26, 2019.
- Panelist, "Compliance Programs Rules and Strategies for Managing Your Annual Review," NRS and IAA, August 7, 2019.
- Moderator, 100 Women in Finance, Private Credit Forum, June 12, 2019.
- Moderator, American College of Investment Counsel Spring Forum, "Navigating MNPI Issues as Institutional Investors," April 4, 2019.
- Moderator, National Society of Compliance Professionals, "Women in Compliance," March 19, 2019.
- Host, Chestnut Advisory Group, "The Secret to Building your OCIO Business," March 5, 2019.
- Host, 100 Women in Finance, "2019 Economic Update with Michelle Meyer, Head of U.S. Economics at Bank of America Merrill Lynch," February 27, 2019.
- Host, Women in Real Assets event, January 8, 2019.
- Panelist, Federal Enforcement Forum, December 5, 2018.
- Panelist, Ascendant Compliance Management's annual conference, "It Takes a Village – Preparing for a Regulatory Exam," October 3, 2018.
- Coordinate and moderator, Private Funds Symposium, September 26, 2018.
- Panelist, Investment Advisers Association, "Compliance Program Rules and Strategies for Managing your Annual Review," IACCP Conference, August 17, 2018.
- Panelist, "News You Can Use — Operating Partners Talk Taxes, Blockchain, & Other Current Affairs," at the Capital Roundtable's Best Practices for Creating Value in PE Portfolio Companies, May 10, 2018.
- Panelist, 100 Women in Finance, "Finding the Perfect Nonprofit Board Position," February 28, 2018.
- Moderator, Chestnut Advisory Group, "Partnering with an OCIO: Opportunities and Risks," January 23, 2018.
- Host/Panelist, Women in the Boardroom, "Fiduciary Duty, Not Just Feminism," December 4, 2017.
- Host, Seven Degrees of Women in Finance, "Pitching the Perfect Pitch," October 2017.
- Moderator, Deals & Divas, Angel, Venture Capital or Private Equity: Finding the Right Equity Partner for Your Business, November 28, 2017.
- Coordinate and moderator, Private Funds Symposium, September 25, 2017.
- Panelist, Women's Investment Management Forum, "SEC Exams — Hot Topics," May 2017.
- Moderator/Host, 100 Women in Finance with Former Vice President Walter Mondale, May 2017.
- Co-coordinator, Successfully Engaging Leaders in Your Diversity and Inclusion Program, May 2017.
- Panelist/Host, Deals & Divas, Career Fireside Chat for Senior Level Women, April 2017.
- Panelist/Host, Women in the Boardroom, March 2017.
- Panelist/Host, Deals & Divas, "Profit with Purpose," February 2017.
- Host, Fireside Chat with Former Vice President Walter Mondale, "Early Sponsorship of Women," January 19,

2017.

- Panelist, Federal Enforcement Forum, December 1, 2016.
- Coordinate and moderator, Private Funds Symposium, September 28, 2016.
- Speaker, Investment Adviser Association, Private Fund Securities Law Exemptions: Navigating Accredited Investors, Qualified Purchasers and Qualified Clients, September 13, 2016.
- Moderator, “Policy Implications of the 2016 Election — What You Need to Know About the Coming Changes to the Regulation of HealthCare, Finance and Energy,” June 14, 2016.
- Speaker, Investment Advisor Association, “Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts,” June 7, 2016.
- Moderator, “Power Play: Get it. Be it. Keep it.,” May 10, 2016.
- Panelist, “Women in Funds & Finance,”Deals and Divas, February 29, 2016.
- Panelist, “SEC Hot Topics,” Federal Enforcement Forum, February 24, 2016.
- Panelist, “SEC Rule 204A: Personal Securities Transactions Ethics and Compliance Issues for 2016,” The Knowledge Group, February 26, 2016.
- Panelist, “Hot Topics for Private Fund Managers,” The Knowledge Group, September 10, 2015.
- Panelist, “Marketing Your EB-5 Project,” EB5Investors.com Conference with U.S. Congressman Lamar Smith, Newport, CA, July 30, 2012.
- Panelist, “EB-5 101,” American Immigration Lawyer’s Association, New York, NY, May 22, 2012.
- Panelist, “Where Compliance and the EB-5 Program Intersect,” Overseas Funding Conference, New York, NY, May 16, 2012.
- Panelist, “Operating Hedge Funds in the New World Order,” 100 Women in Hedge Funds, New York, NY, October 3, 2011.
- Panelist, 9th Annual Family Office Symposium, Aventura, Florida, October 5-6, 2010.
- Panelist, “The Volcker Rule: A Brave New World for Financial Institutions,” August 24, 2010.
- Panelist, “Private Adviser Registration and Regulation,” August 18, 2010.
- Panelist, “Financial Regulatory Reform – Heightened Regulation and Dissolution of Systemically Risky Institutions,” 100 Women in Hedge Funds, Greenwich, CT, May 18, 2010.
- Panelist, “Understanding the Volcker Rule,” Bracewell & Giuliani LLP, March 24, 2010.
- Panelist, “Hedge Fund Regulation – Where Do We Go From Here?” 100 Women in Hedge Funds, New York, NY, October 7, 2009.

PUBLICATIONS

- Co-host, *The Crypto Exchange* Podcast.
- Co-author, “Digital Assets + Blockchain Newsletter – November 6, 2026,” *Troutman Pepper Locke*, November 6, 2026.
- Co-author, “Investment Management Update – Q3 2026,” *Troutman Pepper Locke*, November 5, 2026.
- Co-author, “Digital Assets + Blockchain Newsletter – October 16, 2026,” *Troutman Pepper Locke*, October 16, 2026.
- Co-author, “Digital Assets + Blockchain Newsletter – October 1, 2026,” *Troutman Pepper Locke*, October 1, 2026.
- Co-author, “In the Wake of CLARITY Act’s Failure, Agencies Move Forward Without Congressional Action or Certainty,” *Troutman Pepper Locke*, September 25, 2026.
- Co-author, “Reg S-P Compliance Deadlines Have Passed. Is Your Firm Exam-Ready?,” *Privacy + Cyber + AI* and *Troutman Pepper Locke*, September 17, 2026.
- Co-author, “Senate Blocks Crypto CLARITY Act, Leaving Regulatory Framework in Limbo,” *Financial Services*

Blog, September 17, 2026.

- Co-author, "Investment Management Update – Q2 2026," *Troutman Pepper Locke*, September 1, 2026.
- Co-author, "Key Takeaways from the SEC's Proposed 'Regulation Crypto Assets'," *Troutman Pepper Locke*, August 26, 2026.
- Co-author, "FUNDamental QuickStudy: SEC Proposes New E-Delivery Approach to Modernize Delivery of Regulatory Information," *Troutman Pepper Locke*, August 4, 2026.
- Co-author, "NCUA Issues Supplemental Proposed Rule on Stablecoin Issuance by Credit Union Subsidiaries," *Financial Services Blog*, July 23, 2026.
- Co-author, "California's DFPI Issues Second Modifications to Digital Financial Asset Regulations Following OAL Disapproval," *Financial Services Blog*, July 23, 2026.
- Co-author, "FUNDamental QuickStudy: SEC Division of Examinations Issues Risk Alert on Economic Conflicts of Interest for Investment Advisers," *Troutman Pepper Locke*, June 29, 2026.
- Co-author, "CFTC Clears a Path for Onshore Crypto Perpetual Futures," *Financial Services Blog*, June 5, 2026.
- Co-author, "Senate Banking Committee Advances CLARITY Act in Bipartisan Vote," *Financial Services Blog*, May 15, 2026.
- Co-author, "Senate Banking Set to Mark Up the CLARITY Act: What to Watch in Tomorrow's Hearing," *Financial Services Blog*, May 13, 2026.
- Co-author, "Investment Management Update – Q1 2026," *Troutman Pepper Locke*, May 6, 2026.
- Co-author, "OCC Unveils Sweeping GENIUS Act Stablecoin Proposed Rule," *Financial Services Blog*, April 28, 2026.
- Co-author, "Investment Management Update – Q4 2025," *Troutman Pepper Locke*, February 19, 2026.
- Co-author, "Financial Services Industry 2025 Digital Assets Year in Review," *Troutman Pepper Locke*, February 5, 2026.
- Co-author, "OCC Proposes Rule to Clarify Scope of National Trust Bank Activities," *Financial Services Blog*, January 14, 2026.
- Co-author, "SEC Division of Examination Announces Fiscal Year 2026 Priorities," *Troutman Pepper Locke*, November 24, 2025.
- Co-author, "The GENIUS Act: What Is It and What's Next?," *The Journal of Robotics, Artificial Intelligence & Law*, Volume 9, No. 1, January-February 2026.
- Co-author, "SEC No-Action Letter: Expanding Custody Options for Crypto Assets With State Trust Companies ," *Troutman Pepper Locke*, October 7, 2025.
- Co-author, "CFTC Seeks Public Feedback on Tokenized Collateral and Stablecoins Initiative," *Financial Services Blog*, September 25, 2025.
- Co-author, "Trump Administration's Landmark Report on Digital Assets," *Troutman Pepper Locke*, September 18, 2025.
- Co-author, "Senate Bill Could Overhaul Digital Asset Market Structure," *Law360*, September 15, 2025.
- Co-author, "Investment Management Update – Q2 2025," *Troutman Pepper Locke*, September 9, 2025.
- Co-author, "SEC's Spring 2025 Rulemaking Agenda and the Crypto Revolution," *Financial Services Blog*, September 5, 2025.
- Co-author, "SEC and CFTC Staff Issue Joint Statement on Digital Asset Commodity Transactions," *Financial Services Blog*, September 5, 2025.
- Podcast, "Conversation with Former SEC Chief Economist Dr. Jessica Wachter on Investment Management Rulemaking at the Commission," *PE Pathways*, August 18, 2025.
- Co-author, "The GENIUS Act: What Is It and What's Next?," *Troutman Pepper Locke*, June 24, 2025.
- Co-author, "Investment Management Update – Q1 2025," *Troutman Pepper Locke*, June 4, 2025
- Co-author, "SEC Clarifies Disclosure Requirements for Crypto Asset Securities," *Financial Service Blog*, April

29, 2025.

- Co-author, “FUNDamentals: Form N-PX — Institutional Investment Managers Must File, Even if No ?Proxies Were Voted,” *Troutman Pepper Locke*, March 4, 2025.
- Co-author, “Regulatory Monitor: SEC Update,” *The Investment Lawyer*, January 2025.
- Co-author, “Investment Management Update – Q3 2024,” *Troutman Pepper*, November 25, 2024.
- Co-author, “The SEC’s Division of Examinations Announces 2025 Priorities,” *Troutman Pepper*, October 31, 2024.
- Co-author, “Private Credit Fund Investments: How New NAIC Rules Could Affect Insurance Companies,” *Troutman Pepper*, October 15, 2024.
- Co-author, “Investment Management Update – Q2 2024,” *Troutman Pepper*, October 4, 2024.
- Co-author, “SEC Charges Broker-Dealer and Two Affiliated Investment Advisers With Violating Whistleblower Protection Rule,” *Troutman Pepper*, September 9, 2024.
- Co-author, “Investment Management Update – Q1 2024,” *Troutman Pepper*, May 10, 2024.
- Co-author, “SEC Issues Third Marketing Rule Risk Alert for Investment Advisers,” *Troutman Pepper*, May 9, 2024.
- Co-author, “FinCEN Proposes New Investment Adviser AML Rule,” *Troutman Pepper*, February 23, 2024.
- Co-author, “Investment Management Update – Q4 2023,” *Troutman Pepper*, February 1, 2024.
- Podcast, “A 2024 Economic Outlook,” *Troutman Pepper Podcast*, December 19, 2023.
- Co-author, “The SEC’s Private Fund Rules: What Advisers Need to Know,” *NSCP Currents*, October 31, 2023.
- Podcast, “New SEC Private Funds Rules – What Is Happening and What You Need to Know,” *Troutman Pepper Podcast*, September 6, 2023.
- Co-author, “SEC Adopts New Advisers Act Rules for Private Fund Advisers,” *Troutman Pepper*, August 24, 2023.
- Co-author, “How Real Estate Fund Managers Can Navigate Current Liquidity, Valuation, and Transparency Challenges,” *Private Equity Law Report*, July 13, 2023.
- Author, “Safekeeping of Client Assets,” *The Investment Lawyer*, July 2023.
- Co-author, “SEC Adopts Significant Amendments to Form PF,” *Troutman Pepper*, May 10, 2023.
- Co-author, “SEC Issues Risk Alert on Safeguarding Customer Records and Information at Branch Offices,” *Troutman Pepper*, May 5, 2023.
- Podcast, “Breaking Down the New SEC Custody Rule Proposal,” *Securities Compliance Podcast: Compliance in Context*, March 31, 2023.
- Author, “Investment Adviser Outsourcing Oversight Proposal,” *The Investment Lawyer*, March 2023.
- Co-author, “Troutman Pepper’s “Practically Speaking” Series Regarding the SEC’s New Marketing Rule,” *Troutman Pepper*, October 31, 2022.
- Co-author, “The SEC’s New Marketing Rule – Practically Speaking: Hypothetical Performance,” *Troutman Pepper*, October 31, 2022.
- Co-author, “The SEC’s New Marketing Rule – Practically Speaking: Performance Advertising/Track Records,” *Troutman Pepper*, October 31, 2022.
- Co-author, “The SEC’s New Marketing Rule – Practically Speaking: Testimonials and Endorsements,” *Troutman Pepper*, October 31, 2022.
- Co-author, “The SEC’s New Marketing Rule – Practically Speaking: General Prohibitions,” *Troutman Pepper*, October 31, 2022.
- Co-author, “The SEC’s New Marketing Rule – Practically Speaking: What Is an Advertisement?” *Troutman Pepper*, October 31, 2022.
- Co-author, “SEC Proposes New Investment Adviser Outsourcing Oversight Requirements,” *Troutman Pepper*, October 28, 2022.

- Podcast guest, "Compliance in Context," *Securities Compliance Podcast*, August 10, 2022.
- Co-author, "Investment Management Update – June 2022," *Troutman Pepper*, June 2022.
- Co-author, "SEC Proposed Form PF Amendments Kick Off SEC Chair Gensler's Push for Increased Transparency for Private Funds," *The Investment Lawyer*, May 2022.
- Author, "SEC Throws Down the Gauntlet and Proposes Significant New Private Fund Adviser Rules/Amendments to Existing Investment Advisers Act Rules," *Troutman Pepper*, February 11, 2022.
- Co-author, "Operational Due Diligence on Managers That Hold Digital Assets," *Hedge Fund Law Review*, February 3, 2022.
- Co-author, "SEC Proposed Form PF Amendments Kick Off SEC Chair Gensler's Push for Increased Transparency for Private Funds," *Troutman Pepper*, January 26, 2022.
- Co-author, "Let's Go Crazy – A Princely Look at How the SEC's New Marketing Rule Impacts Solicitors and State Licensing and Registration," *NSCP Currents*, September 2021.
- Co-author, "Investment Management Update – August 2021," *Troutman Pepper*, August 2021.
- Co-author, "SEC Division of Examinations Issues Risk Alerts on Cross Trades and Wrap Fee Programs," *Troutman Pepper*, August 3, 2021.
- Co-author, "The Federal Reserve, FDIC, and OCC Publish Proposed Interagency Guidance on Third-Party Relationships: Risk Management," *Troutman Pepper*, July 29, 2021.
- Co-author, "The Long and Short of It," *Private Equity International's The Legal Special 2021*, April 2021.
- Co-author, "SEC Division of Examinations Announces 2021 Examination Priorities," *Troutman Pepper*, March 9, 2021.
- Co-author, "SEC's New Exempt Offering Rules: Demo Days and Testing the Waters — All Glister No Gold?," *Troutman Pepper*, November 25, 2020.
- Co-author, "Private Funds CFO: *Fees and Expenses Survey 2020*," Troutman Pepper, PEF Services and Withum, November 2020.
- Podcast, "Using Regulation D Rule 506(c) to Raise Capital," October 16, 2020.
- Co-author, "The Dos and Don'ts of Investor Calls That Investment Managers Must Consider," *Private Equity Law Report*, June 16, 2020.
- Co-author, "The Dos and Don'ts of Investor Calls That Investment Managers Must Consider," *Hedge Fund Law Report*, May 7, 2020.
- Podcast, Featured Guest Speaker, *She's Talking Back*, January 2020.
- Author, "SEC Proposes Greater Regulation of Private Fund Offerings," *Engaging Alternatives*, February 24, 2020.
- Co-author, "SEC Proposes Expanding Permissible Performance Advertising Practices With Favorable Treatment for Private Fund Managers," *Hedge Fund Law Report*, December 5, 2019.
- Podcast, Featured Guest Speaker, *Wonder Women in Business*, November 2019.
- Co-author, "SEC Finally Proposes Modernized Investment Adviser Advertising Rule," *NSCP Currents*, November 2019.
- Co-author, "Practical Compliance Considerations for Cross Border Marketing," *NSCP Currents*, June 2018.
- Co-author, "Rise of the Machines: SEC Issues Guidance on Robo-Adviser," *The Banking Law Journal*, Vol. 134 No. 5, May 2017.
- "The SBIC Advisers Relief Act Becomes Law — Changes to SEC and State Investment Adviser Registration Requirements," *JDSupra Business Advisor*, December 7, 2015.
- "SEC Approves Proposals to Modernize and Enhance Reporting Regime for Registered Funds and Investment Advisers," *JDSupra Business Advisor*, May 20, 2015.
- "The Volcker Rule … Finally," *Martindale-Hubbell*, December 1, 2013.
- "The JOBS Act: Potential Pitfalls for Pooled Investment Vehicles and their General Partners, Managers and/or

Regional Center Sponsors," *National Law Review*, June 5, 2013.

- "Buy-Side Weekly Roundup," *Greenberg Traurig, LLP*, Vol. 6., No. 1 (July 2011) – current issue.
- "SEC Proposes New Exemption Rules for Smaller Funds and Advisers," *FINalternatives*, November 29, 2010.
- "FinReg Update: SEC Proposes Family Office Definition," *FINalternatives*, October 18, 2010.
- "Volcker Rule: Implications of the Volcker Rule – Managing Hedge Fund Affiliations with Banks," *The Hedge Fund Law Report*, March 11, 2010.
- "Regulating the Business of Private Fund Advisers," *Law360*, November 16, 2009.
- "Leveling the Playing Field? House Committee Approves SEC Registration for Some Private Fund Advisers, Exempts Others," *FINalternatives*, November 3, 2009.
- "Are You Ready? A Guide to SEC Registration Preparedness," *FINalternatives*, July 21, 2009.
- "Obama Proposals Could Have Major Impact on Private Fund Managers," *FINalternatives*, June 24, 2009.

MEDIA COMMENTARY

- Quoted, "Crypto and the Midterms: What It Will Take to Reach $100k Bitcoin," *Investor's Business Daily*, October 8, 2026. Reprinted on MSN, October 8, 2026.
- Cited, "House Financial Services Chair French Hill Wants CLARITY Act Passed in Lame-Duck Session After Midterm Elections," *Binance*, October 8, 2026.
- Cited, "Rep. Hill Eyes Lame-Duck Session to Secure CLARITY Act Approval," *Bitcoin News*, October 8, 2026.
- Quoted, "Private Fund Valuations: A Growing Pain," *Private Funds CFO*, July 9, 2026.
- Cited, "'It Feels Slimy': My Friend Offered to Be My Adviser, but Didn't Tell Me He's Paid to Push Financial Products. Can I Trust Him?," *MarketWatch* and *MSN*, March 29, 2026.
- Quoted, "In the Loop: PE's Post-Commitment Problems," *Private Funds CFO*, January 12, 2025.
- Interviewed, "NSCP to SEC's Crypto Task Force: Focus on Clarity, Custody and Coordination," *Hedge Fund Law Report*, November 20, 2025.
- Interviewed, "Contributions, Achievements and Observations of Outstanding Female Professionals – Women to Watch Part VII," *ION Analytics*, March 10, 2025.
- Interviewed, "What Hedge Fund Managers May Expect From the SEC in 2025," *Hedge Fund Law Report*, January 16, 2025.
- Quoted, "Private Credit Draws Enthusiasm, Scrutiny," *Regulatory Compliance Watch*, October 28, 2024.
- Quoted, "Dissecting the Fifth Circuit's Vacatur of the Private Fund Adviser Rules and Its Implications," *Hedge Fund Law Report*, July 18, 2024.
- Quoted, "*Chevron* Ruling May 'Hamstring' SEC Rulemaking Agenda: Lawyers," *FundFire*, July 1, 2024.
- Quoted, "The Death of the Private Funds Rule – And the Aftermath (Part 4)," *Private Funds CFO,* June 24, 2024.
- Quoted, "SEC Has Limited Options to Save Private Funds Rule: Compliance Pros," *FundFire*, June 12, 2024.
- Quoted, "SEC Risk Alert Announces Exams of Firms' Preparations for T+1 Settlement," *Hedge Fund Law Report*, May 23, 2024.
- Quoted, "FinCEN AML/CFT Rule Proposal: Difficult Provisions, Potential SEC Examinations and Likelihood of Adoption (Part Two of Two)," *Private Equity Law Report*, May 2, 2024.
- Quoted, "Alts Managers' Mad Scramble to Meet Reporting Requirements for 2024 is Underway," *Alternatives Watch*, December 11, 2023.
- Quoted, "The Paradoxes of SEC Registration," *Private Funds CFO*, December 2023/January 2024.
- Quoted, "SEC's Private Fund Adviser Rules: Tackling the Dos, Don'ts, and Maybes," *FinOps Report*, November 21, 2023.
- Quoted, "Updates from the USA," *Citywealth*, November 1, 2023.

- Quoted, “SEC Enforcement Action Targets Real Estate and Highlights the Agency’s Jurisdiction Over Unregistered Sponsors Offering Securities,” *Private Equity Law Report*, October 19, 2023.
- Quoted, “Final Private Fund Rules: Key Compliance Challenges and Next Steps (Part Two of Two),” *Hedge Fund Law Report*, October 12, 2023.
- Quoted, “Final Private Fund Rules: Overview and Key Changes From the Proposal (Part One of Two),” *Hedge Fund Law Report*, September 28, 2023.
- Quoted, “SEC’s Take on Predictive Data Analytics: A Failed Prediction?,” *FinOps Report*, September 25, 2023.
- Quoted, “Did the SEC Just Double Down on Accelerated Fees and Indemnities?,” *Private Funds CFO*, August 30, 2023.
- Quoted, “SEC Drops Thorny Private Funds Rule Items, but Spurs New Questions,” *FundFire*, August 30, 2023.
- Quoted, “The SEC’s Law of Unintended Consequences,” *Alternatives Watch*, August 28, 2023.
- Quoted, “New SEC Rule Has Big Changes for Fund Managers and Investors,” *GlobeSt*, August 25, 2023.
- Quoted, “SEC Adopts Sweeping Final Private Fund Disclosure Rule,” *FundFire*, August 23, 2023.
- Quoted, “SEC’s Proposed New Custody Rule Fails Industry Litmus Test,” *FinOps Report*, July 24, 2023.
- Quoted, “SEC Oversight Proposal: A Solution in Search of a Problem? (Part Two of Two),” *Hedge Fund Law Report*, December 22, 2022.
- Quoted, “Marketing Rule Risk Alert Indicated That SEC Guidance Will Occur Via Imminent Examinations,” *Private Equity Law Report*, December 1, 2022.
- Quoted, “Down to the Wire: Mgrs Scrambled to Comply With Marketing Rule as Deadline Hit,” *FundFire*, November 7, 2022.
- Quoted, “Marketing Rule Risk Alert Forecasts Coming Exams,” *Hedge Fund Law Report*, October 20, 2022.
- Quoted, “The SEC’s 2022 Reg Flex Agendas: Major Proposals and Ambitious Timelines,” *Cybersecurity Law Report*, August 17, 2022.
- Quoted, “Hedge Funds Warned to Not Misjudge ‘Unprecedented’ Regulatory Wave,” *FundFire*, July 27, 2022.
- Quoted, “One Size Regulation Doesn’t Fit All Hedge Funds” *Hedgeweek*, July 26, 2022.
- Quoted, “Supreme Court Decision Could Prompt More Legal Challenges to Industry Rules,” *FundFire*, July 1, 2022.
- Quoted, “Managers Brace for SEC’s Next Move on Private Fund Disclosure Rule,” *FundFire*, June 22, 2022.
- Quoted, “Compliance Training: SEC Expectations and Substantive Traps to Avoid (Part One of Two),” *Private Equity Law Report*, March 15, 2022.
- Quoted, “A Look at the NSCP’s Firm and CCO Liability Framework,” *Hedge Fund Law Report*, February 24, 2022.
- Quoted, “Chief Compliance Officers Revisit Personal Liability,” *FinOps Report*, February 10, 2022.
- Referenced, “The Art and Science of Marketing Communications: A Roadmap for Emerging Managers,” *Alternatives Watch*, July 13, 2021.
- Quoted, “Legal Experts Debate Personal Liability for Chief Compliance Officers,” *FinOps Report*, July 2, 2021.
- Quoted, “Digital Assets Remain Top of Mind for SEC Division of Examinations,” *Hedge Fund Law Report*, April 8, 2021.
- Quoted, “The New Marketing Rule: Key Elements and SEC Commissioner Concerns,” *Hedge Fund Law Report*, March 4, 2021.
- Quoted, “New Ad Rule Ups Anxiety Over Personal Liability,” *Regulatory Compliance Watch*, January 22, 2021.
- Quoted, “How to Allocate Pandemic-Related Expenses,” *Hedge Fund Law Report*, January 14, 2021.
- Quoted, “OCIE Risk Alert on Private Funds: Key Takeaways for Managers (Part Two of Two),” *Private Equity Law Report*, September 1, 2020.
- Interviewed, “Getting to Know Our National Conference Speakers: Genna Garver and Hope Brown,” The National Society of Compliance Professionals (NSCP)’s *Currents*, August 2020.

- Quoted, “Private Funds Alert: Tips on Managing P&Ps,” *Regulatory Compliance Watch*, July 12, 2020.
- Quoted, “Reopening: The Grind Before the Grind,” *Regulatory Compliance Watch*, June 11, 2020.
- Quoted, “Pandemic’s Liquidity Crunch Puts CCOs on the Spot,” *Regulatory Compliance Watch*, May 21, 2020.
- Quoted, “Fund Valuations: IAs Have Opportunities to Shape Rules, P&Ps,” *Regulatory Compliance Watch*, May 1, 2020.
- Quoted, “Start the Clock: Advertising Proposal Published,” *Regulatory Compliance Watch*, December 12, 2019.
- Quoted, “Inside the Proposed Advertising Rule Revisions,” *Regulatory Compliance Watch*, November 6, 2019.
- Mentioned, “Troutman Sanders Adds Genna Garver to Its New York Office,” *Hedge Fund Law Report*, July 18, 2019.
- Quoted, “SEC’s Reg BI Fails to Quell State Fiduciary Rule Forays,” *FundFire*, June 21, 2019.
- Mentioned, “Troutman Sanders Adds Genna Garver to Its New York Office,” *Private Equity Law Report*, June 18, 2019.
- Mentioned, “Troutman Sanders Hires Restructuring Partner From Dorsey,” *Bloomberg Law Big Law Business*, June 6, 2019.