John M. Ford

Partner

Philadelphia

john.ford@troutman.com

D 215.981.4009



John focuses his practice on investment company and investment adviser regulatory issues, and related issues affecting the investment management activities of financial institutions.

OVERVIEW

John assists clients with the formation and registration of investment companies and investment advisers, and provides advice about regulatory compliance and securities law issues. He serves as fund counsel to a broad array of mutual fund complexes and is experienced in the issues impacting both large-scale fund operations and smaller complexes operating as niche players. He has particular experience in representing series trust sponsors and sponsors of mutual funds relying on external sub-advisers for day to day asset management.

John often works closely with mutual fund sponsors on assisting their product development efforts, particularly in the area of registered investment funds that pursue alternative investment strategies. As part of these efforts, he routinely counsels clients on complex and, at times, “first to market” products. During his career, he has represented and assisted in the structuring of funds pursuing both passive and active “managed futures” strategies, and funds utilizing derivatives to achieve synthetic exposure to traditional and/or alternative asset classes. John is a recognized expert on the highly complex investment, regulatory and tax issues that are unique to such funds.

In addition, John has significant experience in counseling clients in connection with reorganizations, mergers, acquisitions and other business combinations of investment companies and other pooled investment funds. He also is experienced in private funds and status issues related to the Investment Company Act of 1940. John is a frequent commenter in the media on the regulation of money market funds.

He has been listed in *Chambers USA: America’s Leading Lawyers for Business*, in recognition of the strength of his practice in registered investment funds.

John is a contributor to *The U.S. Private Equity Fund Compliance Guide*, an in-depth guide which aims to inform and prepare private equity investment advisers with all the tools and intelligence necessary to register and maintain an active compliance program with the SEC as required by the Dodd-Frank Act.

Before joining the firm, John was a partner with another national law firm, where he was a member of the investment management and securities industry practice group. Before that, he was an attorney at Rodney Square Management Corporation, a mutual fund service company.

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TOP AREAS OF FOCUS

- Investment Funds + Investment Management Services

ALL AREAS OF FOCUS

- Digital Assets + Blockchain
- Financial Services
- Investment Funds + Investment Management Services
- Technology

EDUCATION AND CERTIFICATIONS

EDUCATION

- Rutgers Law School, J.D., 1994
- Saint Joseph's University, B.S., 1991

BAR ADMISSIONS

- New Jersey
- Pennsylvania
- District of Columbia

SPEAKING ENGAGEMENTS

- Presenter, “The Return of TALF Fund Opportunities via COVID-19 Relief,” Financial Executives Alliance Webinar, April 30, 2020.
- Presenter, “An Overview of the SEC’s Recently Adopted Exchange-Traded Funds (ETF) Rule,” Financial Executives Alliance Webinar, November 15, 2019.
- Panelist, “Funds and Leverage,” Investment Management Roundtable for West LegalEdCenter, October 31, 2016.
- Panelist, “Investment Management and Hedge Funds: What’s Happening Now?,” October 18, 2016.

PUBLICATIONS

- Co-authors, “IRS Puts Investment Fund Tax Strategies Under the Microscope: What Fund Managers Need to Know,” *Troutman Pepper Locke*, September 30, 2026.
- Co-author, “Investment Management Update – Q2 2026,” *Troutman Pepper Locke*, September 1, 2026.
- Co-author, “Investment Management Update – Q1 2026,” *Troutman Pepper Locke*, May 6, 2026.
- Co-author, “Investment Management Update – Q4 2025,” *Troutman Pepper Locke*, February 19, 2026.
- Co-author, “SEC Division of Examination Announces Fiscal Year 2026 Priorities,” *Troutman Pepper Locke*, November 24, 2025.
- Co-author, “Investment Management Update – Q3 2025,” *Troutman Pepper Locke*, November 20, 2025.
- Co-author, “SEC No-Action Letter: Expanding Custody Options for Crypto Assets With State Trust Companies ,” *Troutman Pepper Locke*, October 7, 2025.

- Co-author, “Investment Management Update – Q2 2025,” *Troutman Pepper Locke*, September 9, 2025.
- Co-author, “Investment Management Update – Q1 2025,” *Troutman Pepper Locke*, June 4, 2025.
- Co-author, “FUNDamentals Market Update – What’s Happening Now and What’s Next?,” May 2025.
- Podcast, “Exploring the Administration’s Regulatory Impact on Private Equity,” *PE Pathways*, April 22, 2025.
- Co-author, “Investment Management Update – Q3 2024,” *Troutman Pepper*, November 25, 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, “SEC Approves Spot Ether ETFs,” *Troutman Pepper*, July 24, 2024.
- Co-author, “Investment Management Update – Q1 2024,” *Troutman Pepper*, May 10, 2024.
- Co-author, “Investment Management Update – Q4 2023,” *Troutman Pepper*, February 1, 2024.
- Co-author, “SEC Releases New Guidance on Tailored Shareholder Reports,” *Troutman Pepper*, January 24, 2024.
- 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 Adopts Modernized Framework for Open-End Fund Shareholder Reports and Disclosures,” *Troutman Pepper*, October 27, 2022.
- Co-author, “Investment Management Update – June 2022,” *Troutman Pepper*, June 2022.
- Co-author, “SEC Proposes Fund Names Rule Amendments and Rules Governing ESG Investment Disclosures ,” *Troutman Pepper*, June 8, 2022.
- Co-author, “Investment Management Update – August 2021,” *Troutman Pepper*, August 2021.
- Co-author, “SEC Adopts Modernized Framework for Fund Valuation Practices,” *Temple 10-Q, Temple’s Business Law Magazine*, February 22, 2021.
- Co-author, “SEC Adopts Modernized Framework for Fund Valuation Practices,” *Troutman Pepper*, December 11, 2020.
- Co-author, “Investment Management Update,” *Quarterly Regulatory Update*, September 2020.
- Co-author, “SEC Proposes to Improve the Retail Investor Experience Through Modernized Fund Shareholder Reports and Disclosures,” *Troutman Pepper*, August 10, 2020.
- Co-author, “SEC Adopts Amendments to Provide Investors More Information on Proxy Voting Advice,” *Troutman Pepper*, July 27, 2020.
- Co-author, “Investment Management Update,” *Quarterly Regulatory Update*, June 2020.
- Co-author, “SEC Grants Additional COVID-19 Relief to Business Development Companies,” *Client Alert*, April 14, 2020.
- Co-author, “SEC Modernizes Securities Offering Rules for BDCs and Registered Closed-End Funds,” *Client Alert*, April 10, 2020.
- Co-author, “SEC Allows Affiliated Purchases of Debt Securities From Registered Open-End Investment Companies,” *Client Alert*, March 30, 2020.
- Co-author, “SEC Extends Relief for Funds and Investment Advisers Amid COVID-19 Pandemic,” *Client Alert*,

March 26, 2020.

- Co-author, “SEC Grants Relief to Funds and Advisers Related to COVID-19 Outbreak,” *Client Alert*, March 16, 2020.
- Co-author, “SEC OCIE Issues 2020 Examination Priorities,” *Client Alert*, January 30, 2020.
- Co-author, “Investment Management Update,” *Quarterly Regulatory Update*, October 2019.
- Co-author, “SEC Adopts ETF Rule,” *Client Alert*, October 2, 2019.
- Co-author, “Investment Management Update,” *Quarterly Regulatory Update*, July 2019.
- Co-author, “Fifth Circuit Vacates Fiduciary Rule, Creating Circuit Split; Headed to Supreme Court?,” *Client Alert*, March 19, 2018.
- Co-author, “SEC Charges Former Private Equity Firm Partner with Defrauding Clients,” *Client Alert*, October 27, 2017.
- Co-author, “Senate Strikes Down CFPB Arbitration Rule,” *Client Alert*, October 25, 2017.
- Co-author, “SEC Modernization in Plain English: Decoding the Regulation,” *Client Alert*, March 2017.
- Co-author, “SEC Applies Advisers Act Provisions to Nonadvisor Fund Service Providers,” *Client Alert*, June 28, 2016.
- Co-author, “SEC Proposes New Rule Governing Funds’ Use of Derivatives,” *Client Alert*, December 15, 2015.
- Co-author, “SEC Releases First Cybersecurity Enforcement Action for Failure to Protect Client Data,” *Client Alert*, September 23, 2015.
- Co-author, “The SEC Releases the First Distribution-in-Guise Enforcement Action Concerning Fund Assets Used to Pay for Marketing and Distribution Fees,” *Client Alert*, September 22, 2015.
- Co-author, “CFTC Adopts Final Harmonization Rules for Registered Investment Companies Dually Registered as Commodity Pool Operators,” *Client Alert*, August 13, 2013.
- Co-author, “U.S. District Court Rebuffs ICI Challenge to CFTC Rule 4.5 Amendments,” *Client Alert*, December 13, 2012.
- Co-author, “FSOC Recommends and Seeks Comment on Money Market Mutual Fund Reform,” C*lient Alert*, November 16, 2012.
- Co-author, “SEC Settles with Adviser for Over $3.3 Million in Connection with Improper Sub-Advisory Fee Arrangement,” *Client Alert*, November 23, 2011.
- Co-author, “Federal Court Reaffirms Gartenberg Excessive Fee Framework,” *Client Alert*, December 12, 2010.
- Co-author, “Supreme Court Confirms Standard for Assessing Investment Adviser Fees,” *Client Alert*, March 30, 2010.
- Co-author, “SEC Adopts Money Market Fund Reforms,” *Client Alert*, January 28, 2010.
- Co-author, “Once More Unto the Breach: The Interplay Between Federal and State Data Security Regulation,” *The Investment Lawyer*, Volume 16, Number 4, pages 21-26, April 2009.
- Co-author, “Federal Reserve Board Expands Access to Money Market Investor Funding Facility to Local Government Investment Pools,” *Client Alert*, January 9, 2009.

MEDIA COMMENTARY

- 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, “Board Raises Powered Six Percent Higher Last Year,” *BoardIQ*, July 2, 2019.