

## John P. Falco

Partner

Philadelphia



### OVERVIEW

#### In Memoriam

John Patrick Falco, Sr., of Fort Washington, PA, passed away on Sunday, November 23, 2025 at the age of 52.

Born in Norristown and raised in Lansdale, John was a devoted husband to his wife Priscilla and a loving father to his three children, Ellie, Anna, and Jack.

John was the best dad. He loved his family more than anything and was present for nearly every soccer game, swim meet, and school event, cheering from the sidelines and supporting his children in every way. His devotion, encouragement, and unwavering presence shaped his children's lives and filled his family's home with love and laughter.

John was a graduate of Lansdale Catholic High School, Lasalle University, and Temple Law School. He became a well-respected lawyer in Philadelphia. He was admired for his knowledge of the law, but more than that, he was loved for the way he made everyone around him feel like family.

John will be remembered for his sharp mind, quiet strength, generous spirit, and boundless warmth. He enjoyed cheering on the Phillies and Eagles and had a passion for healthy debate, especially when arguing the other side. He pushed others to think more deeply while doing so with humor, insight, and good-natured charm. His faith grounded him, shaped his values, and guided the way he lived.

He is survived by his loving wife of 15 years, Priscilla (née Broomell); his daughters, Eleanor and Anna; and his son, John P. "Jack" Falco Jr. He is also survived by his parents, Joseph and Anne (née Farrow) Falco; his siblings: Joseph (Lisa), Theresa (Tony) Wydan, Charles (Susan), and James (Lauren); his in-laws: John and Wendy Broomell; and his brother-in-law: Jeb (Mia) Broomell.

### PROFESSIONAL/COMMUNITY INVOLVEMENT

- Member, American Bar Association; Business Law Section—Federal Regulation of Securities Committee; Investment Companies and Investment Advisers Subcommittee; Investment Company Use of Derivatives and Leverage Subcommittee

- Member, Federal Bar Association; Securities Law Section
- Member, Pennsylvania Bar Association
- Member, Philadelphia Bar Association; Co-chair, Business Law Section – Investment Companies Committee
- Board member, Chestnut Hill Local, and recipient of Chestnut Hill Award (2016)

## EDUCATION AND CERTIFICATIONS

### EDUCATION

- Temple University Beasley School of Law, J.D., 2006
- La Salle University, B.A., 1996, finance/philosophy

### BAR ADMISSIONS

- Pennsylvania

## SPEAKING ENGAGEMENTS

- Speaker, “[Legal Drafting for Investment Management](#),” Penn Law, February 25, 2020.
- Presenter, “[An Overview of the SEC’s Recently Adopted Exchange-Traded Funds \(ETF\) Rule](#),” Pepper Hamilton and Financial Executives Alliance, November 15, 2019.
- Speaker, “[Investment Management Roundtable: Robo Advisors](#),” West LegalEdcenter, March 28, 2019.

## PUBLICATIONS

- 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.
- 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 Approves Spot Ether ETFs](#),” *Troutman Pepper*, July 24, 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.
- 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.

,” *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*, 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*, 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.

## **MEDIA COMMENTARY**

- Quoted, “Third OCIE Cybersecurity Exam Sweep Underway,” *ACA Insight*, April 1, 2019.
- Quoted, “SEC Modifies Form N-PART Reporting to Address Cybersecurity Concerns,” *ACA Insight*, March 4, 2019.
- Quoted, “OCIE Exam Priorities List is a Tool, Not a Compliance Blueprint,” *ACA Insight*, February 11, 2019.