About the Authors

The authors are partners and associates of Shartsis Friese LLP in San Francisco, California. Since its founding in 1975, Shartsis Friese LLP has become one of the nation’s preeminent law firms in representing hedge fund managers. Shartsis Friese LLP currently represents several hundred hedge fund managers in all aspects of their businesses, including initial organization, capitalization, employee incentive arrangements, initial licensing and ongoing regulatory compliance (both federal and state), contract negotiation and forms for retail and institutional investors, custodians and broker-dealers, and organization and operation of hedge funds and other investment pools. This practice has developed expertise in the complex and evolving requirements of the Advisers Act, the Company Act, the Exchange Act, the Securities Act, the CEA, the Tax Code, ERISA and other relevant federal laws, and the volumes of rules and regulations of the SEC, CFTC, FINRA, IRS and DOL, as well as myriad comparable (but differing) requirements of state law and regulations.

The Shartsis Friese LLP securities enforcement and litigation group comprises 11 attorneys with expertise in the representation of investment advisers, broker-dealers and other financial services professionals. Two of the group’s attorneys worked as enforcement attorneys for the SEC before joining Shartsis Friese LLP.


Amiram J. Givon is a partner of GCA Law Partners LLP in San Francisco, California. Mr. Givon is an expert on ERISA and advises Shartsis Friese LLP and many of its clients on ERISA matters. We are profoundly grateful to Mr. Givon for lending his enormous expertise and wisdom to the preparation of Chapter 11.

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