

Contact

Robert H. Sutton

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Robert Sutton is a partner of the Private Funds Group and a member of the Corporate Department. He is a seasoned practitioner with over 20 years of experience counseling managers and advisers of private funds on regulatory matters, as well as regulatory issues related to the formation and operation of private equity, credit, real estate, infrastructure, hedge and other private funds.

Rob has a deep knowledge of the market practice of asset managers and in particular, as it relates to Advisers Act-related issues. From some of the largest and most sophisticated firms in the global asset management industry to start-ups and mid-sized firms, Rob’s experience includes a wide spectrum of funds and asset classes across their life cycles. Rob regularly advises on matters in connection with: U.S. investment adviser registration and regulation; Advisers Act and other U.S. securities law issues relating to the formation, marketing and offering of private funds; Identifying and managing conflicts of interest, and addressing related Advisers Act risks, SEC examinations, and exam readiness preparation; Design and implementation of investment adviser compliance policies and procedures; U.S. regulatory issues relating to purchases and sales of investment advisory businesses (minority stake and control stake transactions, buy-side and sell-side representations); Advisers Act and other U.S. regulatory issues relating to private fund restructurings and recapitalizations, strip sales, continuation fund formations

and similar transactions; Advisers Act issues relating to the formation of SPACs by investment advisers; and, Investment Company Act status analyses of private fund structures, investment transaction structures and other non-registered investment company structures.

Rob has been recognized by his clients and peers for his extraordinary work, gaining various accolades including mentions in preeminent directories such as *The Legal 500*. He is also very active within the private funds industry, contributing to numerous publications and collaborating on several speaking engagements.

Practices

Asset Management Litigation, Securities Enforcement, Hedge Funds, Private Investment Fund Regulation, Private Funds, Investment Management

Industries

Private Capital

Market Solutions

Environmental, Social and Corporate Governance (ESG), Regulatory & Compliance

Education

Fordham University, J.D.
Harvard University, A.B.
cum laude

Admissions & Qualifications

New York

Awards & Recognition

The Legal 500 United States: Investment Fund Formation & Management: Alternative/Hedge Funds 2023