

Schulte Roth & Zabel



PRESS RELEASE | FOR IMMEDIATE DISTRIBUTION

**SCHULTE ROTH & ZABEL LLP ANNOUNCES EXPANSION OF REGULATORY & COMPLIANCE PRACTICE WITH ADDITION OF BRAD CASWELL**

New York, January 17, 2012 — Schulte Roth & Zabel LLP is pleased to announce that Brad L. Caswell has joined the firm as special counsel in the Investment Management Group. Resident in the firm's New York office, Mr. Caswell's practice concentrates on counseling hedge and private equity funds on operational, regulatory and compliance matters.

Mr. Caswell joins the firm after 12 years serving in-house, including as general counsel and chief compliance officer of investment advisers ranging from multi-billion dollar funds to start-ups. He most recently served as General Counsel & Chief Compliance Officer at City on a Hill Capital LP. Previously, he served as General Counsel, Chief Compliance Officer and Managing Director of DKR Oasis, Associate General Counsel of DKR Capital, and Vice President and Assistant General Counsel at Goldman Sachs & Co. Mr. Caswell began his legal career as an associate at Clifford Chance Rogers & Wells LLP in their New York office.

"We are delighted to have Brad join the firm," said Paul Roth, chair of the Investment Management Group and a member of the firm's Executive Committee. "We have worked with Brad in his prior positions and he is a terrific lawyer. Brad will be a great addition to our highly regarded regulatory and compliance practice."

"Brad's in-house experience as general counsel and chief compliance officer, as well as his years of advising private investment firms, will complement the capabilities of our practice," added Marc Elovitz, head of Schulte Roth & Zabel's 70-attorney regulatory and compliance practice.

Mr. Caswell brings to the firm extensive knowledge of legal and compliance matters related to investment funds. His broad range of experience includes overseeing legal matters for numerous hedge funds, private equity funds and managed accounts; having overall responsibility for all compliance-related matters for several private investment funds; coordinating legal matters related to fund launches, drafting compliance policies and implementing procedures on a day-to-day basis; representing clients in examinations and regulatory matters before the U.S. SEC, Hong Kong SFC and Japan FSA; and advising on trading rules and restrictions in the United States, Asia and Europe. Mr. Caswell also has provided guidance to clients with operations in Hong Kong, Japan and other markets throughout Asia, as well as the UK, with respect to regulatory, compliance, trading and operations.

Commenting on joining the firm, Mr. Caswell said, "SRZ offers one of the most sophisticated regulatory practices dedicated to the alternative investment industry, with a depth of experience matched by few firms. I am very excited to join this exceptional team."

Mr. Caswell received his J.D., *cum laude*, from Boston College Law School in 1996 and his B.A., *magna cum laude*, from Georgetown University in 1992.

**About Schulte Roth & Zabel LLP**

Schulte Roth & Zabel LLP ([www.srz.com](http://www.srz.com)) is a full-service law firm with offices in New York, Washington, D.C., and London. As one of the leading law firms serving the financial services industry, the firm regularly advises clients on corporate and transactional matters, as well as providing counsel on securities regulatory compliance, enforcement and investigative issues. The firm's practices include investment management; regulatory & compliance; M&A; securities & capital markets; litigation; business reorganization; distressed debt & claims trading; employment & employee benefits; environmental; finance; individual client services; intellectual property, sourcing & technology; real estate; structured products & derivatives; and tax.

\* \* \*

**Contacts:****Schulte Roth & Zabel LLP**

Linda Sparn

[linda.sparn@srz.com](mailto:linda.sparn@srz.com) | +1 212.610.7409**Rubenstein Associates, Inc.**

Carolyn Sargent

[csargent@rubenstein.com](mailto:csargent@rubenstein.com) | +1 212.843.8030