

 **PEOPLE**



**Jessica L.  
Margolies**  
*Special Counsel*

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## Contact

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**Advises leading private fund managers on regulatory and compliance issues relating to the use of alternative data, expert networks and other forms of non-traditional research.**

Jessica provides guidance on every stage of the onboarding process, from contract negotiations and due diligence to data integration, and she counsels new and existing users on developing policies and procedures that are consistent with the expectations of the SEC and other regulators.

She also has extensive experience in negotiating licensing agreements, cloud services agreements and other third-party vendor agreements, and in establishing policies and procedures designed to address the related risks.

Having started her career at Schulte in the Investment Management Group with a focus on fund formation, and subsequently having worked in-

house for 10 years before returning to the firm, Jessica has advised on both the business and regulatory aspects of operating private investment funds.

While in-house, she oversaw the launch of investment vehicles with varying liquidity profiles, ranging from long-only and long/short hedge funds to hybrid funds, negotiated a wide array of contracts, and created and implemented firmwide compliance programs, including drafting and tailoring policies and procedures (including with respect to alternative data), and conducting in-depth annual reviews and risk analyses. Through this experience, Jessica gained an understanding of the differing needs of the front, middle and back office that she brings to her practice today.

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## Practices

**INVESTMENT MANAGEMENT**

**REGULATORY AND COMPLIANCE**

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## Bar Admissions

New York

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## Education

New York University School of Law, J.D.

University of Michigan, B.A.

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## Publications

- “2023 Alternative Data Report: The Year in Review,” *Eagle Alpha*, November 2023, co-author

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## Speaking Engagements

- “Compliance Considerations for Generative AI and Large Language Models,” Eagle Alpha NEXT LEVEL Alternative Data Conference, January 2024
- “Legal and Compliance Considerations for Data, AI and Large Language Models in Finance,” Eagle Alpha Webinar, November 2023
- “Incorporating AI Questions into DDQs and the Vendor Diligence Process,” FISC Alternative Data Council: Compliance and Generative AI, October 2023
- “SEC Focus: Alternative Data, Electronic Communications and Expert Networks,” Schulte 32nd Annual Private Investment Funds Seminar, January 2023
- “SEC’s EXAM Risk Alert April 2022: The Alternative Data Response on Policies and Procedures,” Eagle Alpha Webinar, May 2022
- “Private Funds - Regulatory and Litigation,” Schulte 31st Annual Private Investment Funds Seminar, January 2022

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## Memberships

- Board Member, CARES Foundation

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## Prior Experience

- Samlyn Capital
- Coatue Management
- Schulte Roth & Zabel