

Benjamin Kozinn

Partner

Contact

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Co-chair of the M&A and Securities Group. Advises on a broad array of matters covering both investment management and private equity M&A.

Ben works with investment advisers and investors on fund formation, structuring, compensation and regulatory and compliance issues, including alternative data. New managers seeking capital, particularly in the startup market, rely on his experience in structuring, seeding arrangements, managed accounts and funds-of-one.

In relation to M&A, Ben focuses on middle market private equity and asset manager M&A, including complex middle market buyouts, take private transactions, minority stakes and venture investments. He guides private equity managers through complex leveraged buyout transactions across a variety of industries, including technology, industrial services, logistics and investment advisory services.

Ben has held both private practice and in-house roles, including General Counsel at a credit-focused hedge fund, Vice President and Associate General Counsel at Goldman, Sachs & Co. and Director of Hedge Fund Consulting at Deutsche Bank Securities.

He has been recognized by *Chambers USA* for his work in hedge funds.

Practices

MERGERS AND ACQUISITIONS

INVESTMENT MANAGEMENT

EXECUTIVE AND MANAGEMENT TEAM REPRESENTATION

FINANCIAL INSTITUTIONS

PRIVATE EQUITY

REGULATORY AND COMPLIANCE

Bar Admissions

New York

Education

Fordham University School of Law, J.D.,

- Order of the Coif
- Associate Editor, *Fordham Law Review*

Emory University, B.B.A.

- *with distinction*

Publications

- “2023 Alternative Data Report: The Year in Review,” *Eagle Alpha*, November 2023, co-author
- “Second Marketing Rule Risk Alert Provides Little Substantive Guidance,” *Hedge Fund Law Report*, Aug. 3, 2023 (quoted)
- “SEC Enforcement Action Scrutinizes Substantive Details of Level-3 Valuation Policies and Procedures,” *Hedge Fund Law Report*, June 29, 2023 (quoted)
- “Silicon Valley Bank Collapse Could Turn Some VCs Into Zombies,” *Pensions & Investments*, April 3, 2023 (quoted)
- “FTC Proposes Rule to Ban Non-Compete Clauses,” *Schulte Alert*, Jan. 10, 2023
- “SEC Oversight Proposal: A Solution in Search of a Problem? (Part Two of Two),” *Hedge Fund Law Report*, Dec. 22, 2022 (quoted)
- “SEC Proposed Private Fund Rules: Rule-Specific Concerns and Next Steps (Part Three of Three),” *Private Equity Law Report*, June 7, 2022 (quoted)
- “SEC Proposed Private Fund Rules: General Observations (Part Two of Three),” *Private Equity Law Report*, May 31, 2022 (quoted)
- “SEC Proposed Private Fund Rules: Overview of the Proposal and the Importance of Industry Comments (Part One of Two),” *Private Equity Law Report*, May 24, 2022 (quoted)

Speaking Engagements

- “The Continued Rise of Managed Accounts,” 33rd Annual Schulte Private Capital Forum, January 2024
- “A Review of Alternative Data Legal and Compliance Key Themes in 2023,” Eagle Alpha *Profiting From Data* Podcast, January 2024
- “Private Funds Advisers Rule: Fund Terms and Preferential Terms,” 33rd Annual Schulte Private Capital Forum, January 2024
- “Location, Location, Location (Data) – A Compliance Discussion,” Eagle Alpha *Profiting From Data* Podcast, August 2023
- “Generative AI And New Risks Associated With Web Data: Will Web Data Carry Any Form Of Copyright?” and “How To Drive Visibility Into A Data Operation To Satisfy SEC Exam Requirements,” Eagle Alpha’s UNBOUND Alternative Data Conference, June 2023
- “Overview of the History of Regulatory Scrutiny of Expert Networks,” Alternative Data Council Expert Networks and the Convergence of Data and Research, June 2023
- “Earn-outs and Fiduciary Duties in Private Transactions,” Acquiring or Selling the Privately Held Company 2023 Program, May 2023
- “Cybersecurity – Can You Ever Really Be Sure?” UBS Global Markets Hedge Fund Leadership Conference, May 2023
- “Enhancing Data and Operations for Scale and Speed Across Both Public and Private Assets,” GAIM Ops Cayman, April 2023
- “The Role of Compliance Technology for the Alternative Data Initiative,” Eagle Alpha *Profiting From Data* Podcast, March 2023
- Guest Lecturer, Running a Hedge Fund Class, Baruch College, March 2023
- “Next Steps for Investment Funds with Exposure to Silicon Valley Bank,” Schulte Webinar, March 2023
- “SEC Focus: Alternative Data, Electronic Communications and Expert Networks,” Schulte 32nd Annual Private Investment Funds

Seminar, January 2023

- “2022 China Data Regulations Update,” Eagle Alpha Alternative Data Workshop, November 2022
 - “Alternative Data Legal & Compliance – Q3 Quarterly Wrap Up,” Eagle Alpha Insights Workshop, September 2022
 - “Reach for the Moon – How Asset Managers are Using Data Effectively,” GAIM Ops Cayman, April 2022
 - “SEC’s EXAM Risk Alert April 2022: The Alternative Data Response on Policies and Procedures,” Eagle Alpha Webinar, May 2022
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Distinctions

- *Chambers Global*
 - *Chambers USA*
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Prior Experience

- Lowenstein Sandler
- Claren Road Asset Management
- Goldman, Sachs & Co.
- Deutsche Bank Securities
- Fried, Frank, Harris, Shriver & Jacobson