

Paul J. Delligatti

Partner, Chair, Investment Management



Washington D.C. | +1 202 346 4309

PDelligatti@goodwinlaw.com

Paul Delligatti is a partner in Goodwin's Financial Industry, Chair of the firm's Investment Management practice, and leader of the firm's Business Law department in Washington, DC. His practice focuses on representing investment advisers, registered investment companies and their independent directors and other pooled investment vehicles. His investment company clients include open-end and closed-end funds, exchange-traded funds, funds of funds, interval funds, tender offer funds, funds utilizing manager of managers structures, and business development companies. Paul is recognized as an industry leader in assisting private fund managers develop and structure products registered under the Investment Company Act, particularly interval and tender offer funds.

EXPERIENCE

Paul works with clients on a wide range of securities, regulatory, corporate, disclosure and transactional matters, including:

- Counseling investment companies and independent directors on various aspects of the Investment Company Act of 1940, the Securities Act of 1933 and other federal securities laws during all stages of investment company operation, including fund formation matters and ongoing SEC regulatory, compliance and registration requirements
- Forming and advising on complex investment companies including interval and tender offer funds
- Advising on matters relating to money market funds operating in accordance with Rule 2a-7 under the Investment Company Act of 1940
- Advising on matters unique to exchange-listed closed-end funds, including matters associated with activist investors
- Representing funds and investment advisers in obtaining exemptive relief and no-action letters from the SEC or its staff
- Representing funds, investment advisers and independent directors in connection with investment adviser acquisitions and similar transactions, as well as fund mergers, reorganizations, redomicilings, and liquidations
- Counseling investment advisers on various aspects of the Investment Advisers Act of 1940 in connection with a broad range of regulatory, distribution and transactional matters, as well as the application of FINRA rules
- Developing and refining compliance manuals for investment companies and investment advisers, and advising on the implementation of effective compliance programs

Paul J. Delligatti | Partner

PROFESSIONAL ACTIVITIES

Paul is a member of the District of Columbia and New York Bar Associations and is an active member of the Cornell and Chaminade Baltimore/Washington Alumni Chapters.

PROFESSIONAL EXPERIENCE

Prior to joining Goodwin, Paul was an attorney in the Washington D.C. office of Morrison & Foerster LLP. While attending law school, he participated in the U.S. Securities and Exchange Commission's Law Student Observer Program as an intern for the Division of Enforcement's Trial Unit.

RECOGNITION & AWARDS

Paul has been recognized by Chambers USA: America's Leading Lawyers for Business and The Legal 500 United States in the area of mutual and other registered funds law. Paul was named a Rising Star at the 2016 Mutual Fund and ETF Industry Awards.

PUBLICATIONS

Paul regularly prepares thought leadership pieces relating to the investment management industry, including externally published articles, Goodwin client alerts and legal updates for the firm's weekly [Financial Services Weekly RoundUp](#). He also presents at industry events hosted by the Investment Company Institute, the Independent Directors Council and the Mutual Fund Directors Forum. While attending law school, Paul served as a research assistant to the Columbus School of Law's Securities Law Chairperson, Professor David Lipton, and is acknowledged in Professor Lipton's West publication, Broker Dealer Regulation.

His other recent publications include:

- Co-Author, "Delaware Adopts Control Share Acquisition Statute for Registered Closed-End Funds and Business Development Companies Organized in Delaware," Goodwin Client Alert, July 29, 2022
- Co-Author, "SEC Cybersecurity Rules Target Investment Advisers and Investment Companies," Goodwin Client Alert, February 10, 2022
- Co-Author, "SEC Proposes New Round of Money Market Fund Reforms," Goodwin Client Alert, December 21, 2020
- Co-Author, "SEC Adopts New Regulatory Framework for Registered Fund Derivative Investments," Goodwin Client Alert, November 24, 2020
- Co-Author, "SEC Adopts Final Rules Addressing Proxy Advisory Firms," Goodwin Client Alert, July 31, 2020

EDUCATION

- JD, Columbus School of Law, The Catholic University of America, 2006 (cum laude)
- BS, Cornell University, 2002

ADMISSIONS

Paul is admitted to practice in the District of Columbia and New York.



GOODWIN



Jonathan H. Hecht

Partner

Washington, DC

+1 202 346 4439

Jonathan Hecht is a partner in Goodwin's Complex Litigation & Dispute Resolution practice. He counsels clients on investigations by the U.S. Securities and Exchange Commission (SEC), compliance with the federal securities laws and regulations, and securities-related private civil actions. He also represents individuals and entities involved in other government investigations related to financial products and markets. Additionally, Jonathan advises public companies and other entities on internal investigations and represents witnesses in such investigations.

EXPERIENCE

Jonathan's representative experience includes advising:

- Big Four audit firms in SEC investigations*
- Audit companies of public companies in internal investigations*
- A public company in a Financial Crisis Inquiry Commission investigation*
- A financial institution in a CFTC inquiry regarding algorithmic trading*
- A registered investment adviser and associated persons in an SEC investigation*
- A Special Committee of the Council of the District of Columbia in connection with investigation of a \$50 million fraud at the District's Office of Tax and Revenue*

**Denotes experience prior to joining Goodwin*

AREAS OF PRACTICE

Complex Litigation & Dispute Resolution

• Government Investigations & Enforcement

Public Company Advisory

• Securities Litigation & SEC Enforcement

PROFESSIONAL EXPERIENCE

Prior to joining Goodwin, Jonathan spent more than a decade as an attorney in the SEC's Division of Enforcement. From 2018

to 2022, Jonathan was assistant chief counsel in the SEC Enforcement Division's Office of Chief Counsel. In this role, he provided guidance and counsel to senior Division leadership, managers, and staff on novel questions of law, investigative practice, and SEC policy. He also advised on investigation, settlement, and litigation strategies and helped craft and present recommendations to the Commission.

From August 2021 to March 2022, Jonathan served as the Enforcement Division's acting co-chief counsel, a key legal and policy advisor to the Enforcement Division's Director and Deputy Director and the Division more generally. In this role, he oversaw all aspects and functions of the Office of Chief Counsel, and was responsible for making key assessments and providing guidance to new senior leadership of the Division on critical legal and policy determinations at issue high-priority investigations and litigations.

Prior to his tenure at the SEC, Jonathan was an associate and then counsel in the Securities Enforcement group at WilmerHale and an associate in the Litigation group at Shearman & Sterling. In private practice, he developed significant experience dealing with investigations by various government authorities, including the SEC, CFTC, FINRA, DOJ, and congressional committees.

PROFESSIONAL ACTIVITIES

Jonathan is a member of the Washington, D.C. and New York Bar Associations.

CREDENTIALS

Education

JD, 2000

American University Washington College of Law
(magna cum laude, Editor-in-Chief of the American University Law Review)

BA, 1997

Pennsylvania State University
(Distinction and Honors)

Admissions

Bars

- Washington, D.C.
- New York

RECOGNITION & AWARDS

Jonathan has been recognized by the Legal 500 US for his work in Corporate Governance and Securities litigation: defense in 2023.

Jonathan was a recipient of the John H. Pickering Award for Exemplary Commitment to Pro Bono Legal Services. He also received the SEC Division of Enforcement Director's Award for Outstanding Contribution to the Enforcement of the Federal Securities Laws.

PUBLICATIONS

- Co-Author, "Beyond Penalties and Disgorgement—What to Expect From the SEC in 2023" *New York Law Journal*, February 14, 2023
- Speaker, "SEC Speaks," PLI Conference (2021)



Steve Humenik
Senior Vice President, Global Head of Derivatives and
Head of Legal for the Middle East & Africa
Crypto.com

Steve Humenik is Senior Vice President, Global Head of Derivatives and Head of Legal for the Middle East & Africa at Crypto.com. In this position, Mr. Humenik leads Crypto.com's global derivatives efforts from a regulatory, legal, and strategic perspective. As a result, Mr. Humenik is responsible for strategy and developments related to Crypto.com | Derivatives North America and Crypto.com's derivatives offerings in the Americas, Europe, the Middle East, Africa, and Asia. In addition, as Head of Legal for the Middle East & Africa, Mr. Humenik oversees legal issues, policy, and regulatory developments for both the institutional and the retail digital assets spot markets in the Middle East and Africa, two regions where digital asset adoption and rulemaking has seen explosive growth in recent years.

Mr. Humenik began his career in the Division of the Enforcement at the CFTC, where he spent a combined eight years. While at the CFTC, Mr. Humenik also served as a Special Counsel & Policy Advisor to former Commissioner Scott O'Malia. Mr. Humenik then served as General Counsel and Chief Regulatory Officer of a CFTC-registered interest rate swap futures exchange. Mr. Humenik then entered private practice for nearly 10 years where he assisted clients that represent the entire derivatives market ecosystem, both in the U.S. and globally. Specifically, Mr. Humenik led the Futures and Derivatives Practice at Covington & Burling, LLP prior to joining K&L Gates, LLP as a Partner where he led their derivatives practice. Mr. Humenik is admitted to practice law in Washington, D.C., Illinois and Maryland (inactive).

Kevin Webb

Senior Special Counsel, Detailee | House Agriculture Committee, CFTC

Kevin currently serves as Senior Special Counsel at the U.S. House of Representatives Committee on Agriculture (House Ag). He holds that position as a detailee from the U.S. Commodity Futures Trading Commission (CFTC) where he has served for sixteen years. Prior to being detailed to House Ag, Kevin was Senior Special Counsel in the CFTC's Office of International Affairs, Chief of Staff to CFTC Commissioner Brian Quintenz, Special Counsel to CFTC Chairman Chris Giancarlo, Special Counsel/Detailee to House Ag, and Senior Trial Attorney in the CFTC's Division of Enforcement. Before joining the CFTC, Kevin was a Trial Attorney in the Environment and Natural Resources Division of the U.S. Department of Justice and an Associate in the litigation departments of Goodwin Procter and Hunton and Williams. Kevin holds Bachelor of Science in Commerce and Juris Doctor degrees from Washington & Lee University.

Bar Admissions

- Washington, D.C.
- Maryland
- Virginia

Nick D'Addio

Columbus School of Law
Class of 2024



Nick D'Addio is a third-year law student at the Catholic University of America (CUA), Columbus School of Law. Nick's academic focus is securities law. In addition to pursuing a certificate in securities law, he is the Vice President of the Securities Law Student Association. Nick is a coach and former competitor of the Kaufman Securities Moot Court team. He also serves as Managing Editor of the CUA Law Review. Prior to law school, Nick completed his undergraduate studies at the University of Virginia and served as an English Teacher in the Peace Corps in Thailand. After graduation and studying for the bar, Nick will join the Litigation Department at Stradley Ronon Stevens & Young, LLP.