

EXPERIENCE

Iron Road Partners, New York, NY
Director - Consultant

January 2024 – February 2024

Angelo, Gordon & Co, New York, NY
Managing Director and Senior Compliance Counsel

February 2020 – January 2023

- Primary compliance coverage for the Real Estate Private Equity, Net Lease and Middle Market Direct Lending businesses
- Provided regulatory advice to senior management and deal personnel regarding transactions; key liaison between fund/regulatory counsel and deal teams/transaction counsel; advised on LPAC disclosures and consents, and investor side letter issues
- Handled conflicts such as cross-trades, personal investments, complex capital structures with multiple funds, as well as conflicts between business lines such as investment allocation and MNPI restrictions
- Built firm-wide counterparty and vendor level AML system and handled complex AML issues relating to deal structure
- Responsible for coverage area's compliance with SEC marketing rules, including insuring compliance with the new marketing rule that went into effect in 2022

Two Sigma Investments LP, New York, NY
Compliance Officer for Two Sigma Private Investments

May 2018 – February 2020

- Provided ongoing compliance support to Sightway Capital LP and Two Sigma Ventures LP, the private equity and venture capital divisions Two Sigma
- Interacted daily with senior deal personnel, providing regulatory advice regarding potential transaction issues and fund document compliance; created bespoke training materials on topics including marketing, public speaking and expense allocation
- Assisted with the initial registration of Two Sigma Venture LP as a registered investment adviser; drafted compliance manual
- Reviewed and drafted disclosure for initial non-proprietary capital investment funds
- Designed compliance testing for new advisers; included adapting for new electronic environments and external systems

Dune Real Estate Partners LP, New York, NY
Compliance Officer and Counsel

June 2015 – April 2018

- Managed compliance consultants and regulatory counsel and provided advice to deal personnel and senior management
- Reviewed and approved marketing documents for compliance with Investment Advisers Act marketing rules
- Rebuilt and enhanced AML, cybersecurity and third party due diligence systems
- Assisted with regulatory and legal guidance and helped draft disclosure for fund LPA, PPM and side letters
- Assisted with fund closings, including investor communication, subscription document review and AML/KYC requirements

Compliance Associate

January 2013 – June 2015

- Designed and performed testing for 206(4)-7 annual reviews of compliance program and reported to senior management
- Updated policies and procedures to conform to latest SEC and other regulatory body guidance and new rule making
- Selected, implemented and managed web-based compliance technology solution for compliance with personal trade reporting rules, employee pre-clearance trading obligations and monitoring of potential conflicts of interest
- Drafted and filed forms ADV and PF and helped prepare responses to regulatory inquiries
- Responsible for post-transaction recordkeeping, managing over 300 entities (including formation, dissolution and qualification), recordkeeping related to swaps, and preparing guides for side-letter and fund document compliance

Sullivan & Cromwell LLP, New York, NY
Litigation Legal Assistant

May 2006 – May 2008

- Worked on SEC and Department of Justice investigations, as well as large civil suits dealing with corporate securities law

EDUCATION

Brooklyn Law School, Brooklyn, NY
Awarded Juris Doctor Cum Laude, June 2011; Member of the New York State Bar in good standing

Adelphi University, Garden City, NY
B.A. in History, August 2005