



Monika Gupta

Associate

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OVERVIEW

Monika Gupta counsels investment advisers and private investment funds, including hedge funds and private equity funds, on fund formation and securities law matters. She works with clients to structure, negotiate, and form U.S. and offshore funds. She also provides counsel on regulatory and compliance matters, including investment adviser registration with the U.S. Securities and Exchange Commission, ongoing compliance with related rules and regulations, development of compliance policies and internal control procedures, and regulatory audits.

Monika also represents institutional investors, such as university endowments and foundations, in their U.S. and offshore investments in private investment funds, including hedge funds, private equity funds, and venture capital funds.

A former general counsel and chief compliance officer of a \$2 billion hedge fund and private equity fund group's registered investment adviser, Monika brings practical in-house experience and insight to her work with clients.

PROFESSIONAL BACKGROUND

Prior to joining the firm, Monika ran the legal department globally of a registered hedge fund and private equity fund adviser managing \$2 billion in assets across a variety of investment strategies, including equities, real estate, and multi-strategy, in emerging markets. While serving as first in-house counsel for the firm, she established its first office in Asia, structured and launched new U.S. and offshore private investment funds, and developed and oversaw regulatory compliance programs in the United States, Singapore, India, and Mauritius.

Previously, Monika served as a regulatory compliance consultant, where she counseled hedge fund and private equity fund advisers managing up to multiple billion-dollar assets on comprehensive compliance with U.S. Securities and Exchange Commission (SEC) rules and regulations. She led teams conducting mock SEC examinations and annual compliance program reviews, developed initial compliance programs from the ground up, and led firmwide trainings for clients on key compliance issues.

Monika started her career in the asset management group of a Boston-based global law firm where she represented hedge fund and private equity fund advisers on a variety of fund formation, transactional, and securities law matters. She structured, negotiated, and formed U.S. and offshore private investment funds. She

also advised those entities and their sponsors on a variety of regulatory and compliance matters, both federal and state, on an ongoing basis.

While in law school, Monika served as a legal intern in the Washington, D.C. office of U.S. Senator Hillary Rodham Clinton during 9/11. She assisted then-Sen. Clinton and her chief legal counsel with various projects in the immediate aftermath, such as providing support to first responders, helping arrange the transport of special demolition equipment to New York City, and drafting proposed amendments to the draft USA PATRIOT Act.

PROFESSIONAL / CIVIC ACTIVITIES

Monika is a member of the philanthropy committee of 100 Women in Finance, where she helps select the organization's annual U.S. philanthropic beneficiary in the areas of education, women's and family health, and investment in the next generation of women coming into the finance industry. The annual grant size is approximately \$1.5 million.

ADDITIONAL BACKGROUND

Ms. Gupta lived in five countries across North America, Latin America, Asia, and Europe while growing up.

EDUCATION

- J.D., Cornell Law School, 2002 (*Cornell Law Review*)
- B.S., University of Connecticut, 1999 (*magna cum laude*)

ADMISSIONS

- Bar of District of Columbia
- Bar of Massachusetts
- Bar of New York
- Bar of Washington

LANGUAGES

- English
- Hindi
- Spanish

AREAS OF FOCUS

- Asset Management and Investment Funds

- Hedge Funds
- Investment Advisers
- Investment Funds
- Portfolio Management, Trading, and Compliance
- Private Equity Funds
- Private Equity Transactions