

# John M. Baker

## Counsel

Washington, DC

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John Baker focuses his practice on complex securities law and banking issues for mutual funds and their boards of directors/trustees, investment advisers, broker-dealers, banks, hedge funds and other participants in the financial markets.

### RESULTS

- established a number of public and private investment funds and represented funds in leveraged buyouts and other investment activities
- coordinated the acquisition of a mutual fund complex and negotiated buyouts of service provider contracts
- updated a fund family registration statement to comply with new Form N-1A provisions - the first fund family in the country to comply
- engaged by a pension consulting firm located in Guam to establish a series of collective trust funds
- acted as primary counsel for a startup bank insurance agency, coordinating bank positions on cutting-edge legal issues and obtaining insurance agency licenses in spite of state laws prohibiting bank insurance sales

Prior to joining Stradley Ronon, John was senior counsel for a leading Boston financial institution, where he served as the primary legal advisor to the bank in its role as investment adviser to mutual funds with more than \$9 billion in assets.

Following a clerkship with the Hon. Boyce F. Martin Jr. of the U.S. Court of Appeals for the Sixth Circuit, John was an associate and of counsel with a Massachusetts law firm. He also served as the former vice president and general counsel of Child World Inc., a 151-store toy retailer.

### SPEAKING ENGAGEMENTS

- Presenter, "Unpacking the Corporate Transparency Act," Stradley Ronon CLE
- Presenter, "Financial Services Regulatory Workshop," Stradley Ronon CLE
- Panelist, "Financial Services Regulatory Forum" Stradley Ronon CLE Webcast

### FOCUS

Registered Investment Companies  
Investment Advisers  
Broker-Dealer  
Banking  
Investment Management  
Common & Collective Trust Funds  
Fiduciary Governance  
Cryptocurrency and Blockchain  
Environmental, Social and Governance  
Fintech

### BAR ADMISSIONS

District of Columbia  
Massachusetts

### EDUCATION

J.D., Harvard Law School  
B.A., *cum laude*, Centre College

### MEMBERSHIPS

District of Columbia Bar, Corporation,  
Finance and Securities Law Section



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- Panelist, “Regulation Best Interest and Other New SEC Standards of Conduct: Impact on Broker-Dealers, Investment Advisers and Investment Companies,” Strafford Webinar
- Speaker, “Investment Company Act & Advisers Act Cryptocurrency Considerations,” Investment Management’s Digital Assets Working Group: Cryptocurrency Legal Roundup - Securities, Derivatives, Enforcement & Litigation Updates
- Moderator, SIFMA AMG/FIA Asset Management Forum 2018
- Presenter, “After the Election: What to Expect from the New Administration in the Securities Field,” Philadelphia Bar Association’s Securities Regulation Committee Meeting
- Speaker, “The ‘How-To Guide’ for Regulatory Change,” TDAmeritrade Institutional National Conference
- Speaker, “Compliance Issues for UMA Advisers,” Money Management Institute: MMI Fall Conference, Managed Accounts Solutions
- Speaker, “SEC Hot Button: Fiduciary Issues and Conflicts of Interest, Financial Research Associates, Hedge Fund Regulation and Compliance”
- Speaker, “Investment Advisory Contracts: What They Should and Shouldn’t Contain,” TD Waterhouse Institutional Services, Partnership National Conference
- Speaker, “NASD Issues, Investment Company Institute,” Securities Law Developments Conference
- Speaker, “Revised Form N-1A, Investment Company Institute,” Disclosure Reform Conference

## PUBLICATIONS

- Co-author, “2021 CPO/CTA Highlights from NFA,” *Futures & Derivatives Law Report*

