

BIRMINGHAM

## John H. Roth, Ed.D.

SHAREHOLDER



### John's Profile

John focuses his practice on providing a full suite of legal and compliance services to investment management firms and other financial services companies, as well as corresponding services to investors in various financial products.

#### Representative Services

- Provide general counsel and compliance officer guidance
- Structure hedge funds and private equity funds (including formation, offering memoranda, investment management agreements and side letters)
- Negotiate investment management agreements for separately managed accounts
- Create compliance policies and procedures for investment advisers
- Represent SEC-registered investment advisers with Division of Examination inspections
- Assist with legal, compliance and operational due diligence
- Provide support to trading desks respecting securities law questions, trade settlement and trade restrictions

Prior to joining Maynard Cooper, John served in multiple in-house legal and compliance positions in Alabama, New York and Connecticut, including serving as the General Counsel and Chief Compliance Officer of a hedge fund management firm in New York and Vice President and Deputy General Counsel of a financial services firm with offices in New York, Hartford (CT), Los Angeles and London. In those roles, John supported multiple investment strategies, including distressed investment, special situations and collateralized loan obligation (CLO) strategies, as well as a collateralized fund obligation (CFO) strategy.

John has published articles in The Alabama Lawyer, The Hedge Fund Law Journal, The Hedge Fund Law Report and the B.Y.U. Education & Law

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#### RELATED INDUSTRIES/SERVICES

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Journal and was interviewed for Modern Counsel Magazine. He has also spoken at several industry conferences in New York, Washington, D.C., Greenwich (CT), Palm Beach (FL) and the Cayman Islands sponsored by the Regulatory Compliance Association, Compliance Reporter, Operations for Alternatives, HFM, the National Society of Compliance Professionals, the American Conference Institute and Bloomberg Vault.

John serves on the Harbert Advisory Council for the Harbert College of Business of Auburn University where he and his wife funded the Roth Family Professor of Marketing and Business Ethics. John has taught at the Steinhardt School of Culture, Education and Human Development of New York University, and his doctoral research at NYU focused on ethical decision-making in the investment management industry.

### John's Affiliations and Civic Involvement

- Dean's Advisory Council, Raymond J. Harbert College of Business of Auburn University (2015-present)
- Board of Directors, Greenwich Center for Hope and Renewal (2014-2016)

### Bar Admissions

State Bar: Alabama, Connecticut, New York

### Education

- New York University
  - (2021, Ed.D.; Distinguished Problem of Practice Award)
- New York University
  - (2003, LL.M., Taxation; N.Y.U. Annual Survey of American Law, Staff Editor)
- Cumberland School of Law, Samford University
  - (2002, J.D., magna cum laude; Cumberland Law Review, Associate Editor)
- University of Alabama
  - (1999, M.A., Banking and Finance)
- Auburn University
  - (1998, B.S., Finance; Omicron Delta Kappa; Spade Honor Society; Student Government Association Treasurer)