



# Thomas G. Sheehan

Shareholder

Meet Tom, securities regulation and compliance pro and all-around sportsman.

Here's why you'll enjoy working with him.

As a result of his past position as senior legal counsel of the US Securities and Exchange Commission, Tom has a thorough knowledge of federal securities laws and SEC regulations, particularly as they relate to the investment management world. His in-depth understanding makes him a fitting choice when you need guidance in handling compliance, fiduciary, and SEC examination and enforcement matters in these areas.

That's just the beginning, however. Given his background at Citi Global Transaction Services and its predecessor, Forum Financial Group, where he helped create and service investment funds and consulted strategically on new fund start-ups and product development, Tom is also an asset to fund advisers, mutual fund and ETF fund complexes, and



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#### **PRACTICES & INDUSTRIES SERVED**

Asset Management & Securities  
Business  
Financial Regulation & Compliance  
Fund & Investment Product Formation

fund directors. In such relationships, Tom provides legal counsel, orchestrates or participates in fund board meetings, and provides business acumen to further the successful creation, start-up and ongoing operation of mutual funds and ETFs.

## But that's not all. Tom is also very experienced in:

- Mutual fund corporate governance matters
- Serving as counsel to asset managers of all sizes
- The development, implementation, and oversight of compliance programs for investment managers and funds
- Investment adviser registration
- Service provider contract negotiations
- Fund registration

## In his former life, Tom was:

- Counsel, managing director, director of relationship management, director of product, and director of business development for Citi Global Transaction Services and its acquired predecessor, Forum Financial Group
- Senior counsel in the Office of the General Counsel and senior counsel in the Division of Investment Management, Office of Enforcement Liaison and Office of Investment Company Regulation at the US Securities and Exchange Commission in Washington, DC
- An attorney in private practice in Washington, DC

## When Tom isn't working, he is...

Spending time with his three daughters: Caitlin, Madeleine, and Cameron; Participating in recreational sports himself: Skiing, golfing, cycling, and working out are particular favorites. Tom also knows how to throw a good party, whether it's for his family, baseball players from the Portland Sea Dogs (whom he hosts in his home every summer), or friends. A Maine native, Tom also loves spending time at his cottage on Cobscook Bay in downeast Maine. On quieter days, Tom enjoys hanging out with his Bernese Mountain dog or reading a novel.

## Background

### **EDUCATION**

JD, University of Chicago, 1980

MBA, Finance and Accounting, Cornell University  
Johnson School of Management, 1977

BA, Economics, Cornell University College of Arts  
and Sciences, 1976

### **ADMITTED TO PRACTICE**

State of Maine

District of Columbia