

Alan J. Berkeley

Senior Of Counsel

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OVERVIEW

Alan Berkeley now devotes much of his professional time to working with management, boards of directors, and public and privately-held companies on sensitive corporate and securities regulatory matters. These include corporate governance developments, structural planning, regulatory compliance inquiries and initiatives, transactional events, and SEC enforcement investigations. He has also handled and led teams for mergers and acquisitions, financings, and commercial transactions for both large and small, public and privately-held clients. Alan practiced in these fields in the firm's London and São Paulo offices and is registered as a foreign legal consultant in Brazil.

PROFESSIONAL BACKGROUND

Alan has more than 50 years of experience in corporate and securities law. He is extensively involved in professional and academic activities, including many years as member of the adjunct faculty at Georgetown University and George Washington University law schools, as a contributor to several academic treatises and practical publications, and as a frequent and well-recognized speaker on professional and business education programs. Alan has been listed in *The Best Lawyers in America* in the category of Corporate Law from 2001 to 2021.

PROFESSIONAL / CIVIC ACTIVITIES

- Elected as a Member of the American Law Institute, 1988
- Co-Chair, ALI CLE Course, and Course Materials, “Regulation D and Private Placements” (1980's - to date)
- Co-Chair, ALI CLE Course, and Course Materials, “Fundamentals of Securities Law” (1990's -2013)
- External Ph.D. Examiner, School of Law, Trinity College Dublin (2010 - 2012)
- Securities Registration Subcommittee of the Business Law Section, American Bar Association (Chair; 2000-2003)
- NASD Legal Advisory Board (Chair; 1999-2001)

- Advisory Committee, Committee on Federal Regulation of Securities of the Business Law Section, American Bar Association (Member; 2003-)
- George Washington University School of Law, Former Adjunct Faculty
- Georgetown University Law Center, Former Adjunct Faculty
- District of Columbia Bar, Corporate Securities Committee (Chair; 1978-1980)
- Federal Bar Association, Securities Committee (Chair; 1988-1990)
- General Counsel, Partners of the Americas, Inc. and Partners of the Americas Foundation

EDUCATION

- J.D., Georgetown University Law Center, 1967
- B.S., Cornell University, 1964

ADMISSIONS

- Bar of District of Columbia
- Bar of New York
- Registered Foreign Legal Consultant in Brazil
- Court of Appeals of Virginia
- Supreme Court of the United States
- United States Court of Appeals for the District of Columbia Circuit
- United States Court of Appeals for the Fourth Circuit
- United States Court of Appeals for the Third Circuit
- United States District Court for the District of Columbia

THOUGHT LEADERSHIP *POWERED BY HUB*

- 23 April 2015, The SEC Delivers A+ Effort:
  New Rules Designed to Breathe Life into Regulation A

OTHER PUBLICATIONS

- "Sample Corporate Policy on Insider Trading," *The Practical Law Company*, February 2015
- "Summary Memorandum on Insider Trading," *The Practical Law Company*, February 2015

NEWS & EVENTS

- 18 August 2022, More Than 350 K&L Gates Lawyers Named Among 2023 Best Lawyers in America, Ones to Watch
- 17 March 2022, Regulation D Offerings and Private Placements 2022, Hosted by ALI CLE
- 19 August 2021, Nearly 300 K&L Gates Lawyers Named Among 2022 Best Lawyers in America, Ones to Watch

AREAS OF FOCUS

- Mergers and Acquisitions
- Anti-Bribery and Anti-Corruption
- Emerging Growth and Venture Capital
- Internal Investigations
- Securities Enforcement / Financial Regulatory Enforcement
- White Collar Defense and Investigations