

SEWARD & KISSEL LLP

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**GREGG BATEMAN**

(GLOBAL BANK AND INSTITUTIONAL FINANCE & RESTRUCTURING GROUP)

**NICK KATSANOS**

(BUSINESS TRANSACTIONS GROUP)

**ANTHONY TU-SEKINE**

(CAPITAL MARKETS AND SECURITIES AND INVESTMENT MANAGEMENT GROUPS)

HAVE BECOME  
PARTNERS IN THE FIRM  
AND

**ROSS HOOPER**

(LITIGATION GROUP)

**KERI E. RIEMER**

(INVESTMENT MANAGEMENT GROUP)

**JULIA C. SPIVACK**

(LITIGATION GROUP)

**ROBERT E. WOOD**

(CORPORATE FINANCE GROUP)

HAVE BECOME  
COUNSEL IN THE FIRM

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## GREGG BATEMAN

Gregg Bateman is a member of the Global Bank and Institutional Finance & Restructuring Group. He has extensive experience representing banks and financial institutions in connection with various types of domestic and international financing transactions, including secured and unsecured loan transactions, asset securitization, structured finance and project finance transactions. In these transactions, Gregg typically represents such institutions in their capacities as trustee, administrative agent, collateral agent, escrow agent, custodian, servicer, exchange agent and paying agent.

Gregg advises clients in connection with secured transactions involving both domestic and foreign collateral and highly complex intercreditor structures that include senior/subordinate or *pari passu* creditor relationships. He also has substantial experience with various types of securitization transactions involving an array of asset classes, including residential and commercial mortgages, motion picture royalties, medical and trade receivables, collateralized debt obligations, life insurance policies, life insurance premium loans, diversified payment rights, peer to peer loans, student loan receivables and equipment leases.

In addition to origination work, Gregg has advised clients in connection with consent solicitations, exchange offers, tender offers, amalgamations and mergers of obligors, registration rights offerings, note redemptions and resignations and successions. He also has substantial experience representing trustees, administrative agents, collateral agents and ad hoc bondholder and lender groups in connection with complex defaults, workouts, restructurings and liquidations.

Gregg regularly advises hedge fund administrators in connection with the establishment and ongoing administration of hedge fund administration platforms.

Gregg received a B.A. from the University of Michigan and a J.D. from Seton Hall University School of Law, where he was a Dean Merit Scholar, and Managing Editor and co-founder of the *Seton Hall Circuit Review*. He is currently a member of the American Bar Association, where he serves on the Trust Indentures and Indenture Trustees Committee.

Gregg can be reached at (212) 574-1436 or [bateman@sewkis.com](mailto:bateman@sewkis.com).

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## NICK KATSANOS

Nick Katsanos is a member of the Business Transactions Group. He works with the Firm's clients in connection with a variety of business transactions and other general corporate matters, with an emphasis on middle-market deals in the investment management, broker-dealer, media and shipping industries. Representative transactions include mergers and acquisitions, private equity and venture capital transactions, joint ventures and strategic alliances involving public and private companies, private investment funds, investment management firms, financial institutions, business owners and managers.

Nick received a B.S., *magna cum laude*, from New York University's Stern School of Business and a J.D. from New York University School of Law. Nick is a member of the New York City Bar Association.

Nick can be reached at (212) 574-1382 or [katsanos@sewkis.com](mailto:katsanos@sewkis.com).



## ANTHONY TU-SEKINE

Anthony Tu-Sekine is a member of the Capital Markets and Securities and Investment Management Groups, and is located in Seward & Kissel's Washington, D.C. office.

Anthony has extensive experience in capital markets transactions, representing domestic and foreign issuers and underwriters in private placements and initial and secondary offerings in the United States and offshore. Anthony also has represented issuers and underwriters in filings with FINRA in connection with public offerings.

Anthony also represents investment companies and bullion funds. He has advised several clients in the formation of business development companies and specializes in compliance issues arising under the Investment Company Act of 1940 and federal securities laws for foreign investment companies.

Anthony received a B.A. from California State University, Fullerton and a J.D. from Harvard Law School. He has served as President of the Asian Pacific American Bar Association of the Greater Washington, D.C. area and as Secretary of the District of Columbia Bar.

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## ROSS HOOPER

Ross Hooper is Counsel in the Litigation Group. His responsibilities include providing litigation and advisory services to a range of clients that include financial institutions, investment advisers, and other companies. Ross has broad experience litigating securities law, employment law, and other complex commercial disputes in federal and state courts, proceedings before the SEC and FINRA, and in arbitration and other alternative dispute resolution proceedings.

Ross regularly advises corporate trust clients in connection with structured finance disputes, regulatory inquiries and investigations, bankruptcy litigation and restructuring matters. In addition, Ross provides advice to investment managers and private investment funds in connection with seed and other strategic investments and investment management transactions, joint ventures and corporate restructurings.

Ross received a B.S., *magna cum laude*, from Vanderbilt University and a J.D. from New York University School of Law.

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## KERI E. RIEMER

Keri E. Riemer is Counsel in the Investment Management Group. Her practice focuses on a broad range of legal requirements applicable to registered investment companies, including mutual funds and closed-end funds, and registered investment advisers. She regularly advises clients on statutory and regulatory matters relating to registered funds, including fund formation and registration with the Securities and Exchange Commission under the Investment Company Act of 1940, reorganizations, compliance programs and restructurings. She also has extensive experience working with registered funds on their service provider agreements, distribution and custody arrangements and routine regulatory reporting and compliance requirements. Keri counsels investment advisers on matters relating to their registration with the Securities and Exchange Commission, and their compliance with requirements under the Investment Advisers Act of 1940. She also advises registered funds and investment advisers on matters relating to examinations by regulatory authorities.

Keri has drafted or contributed to articles and CLE courses relating to cybersecurity, reporting obligations of investment advisers, soft dollars, money market fund reforms and fund director oversight responsibilities. She is involved in several professional and philanthropic organizations.

Keri received a B.A. from Bowdoin College, *magna cum laude*, and a J.D. from Boston College Law School.

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## JULIA C. SPIVACK

Julia C. Spivack is Counsel in the Litigation Group. Julia's practice focuses primarily on employment litigation and advisory matters, as well as commercial and securities related disputes.

Julia routinely litigates contract disputes, restrictive covenants, group hires, employment discrimination, whistleblower, and executive compensation matters. She also represents companies and individuals in connection with securities law and regulatory matters and business disputes. In addition to appearing in state and federal courts, Julia has represented clients in proceedings before FINRA, the American Arbitration Association, JAMS, OSHA, the EEOC, and the New York State Division of Human Rights.

Julia advises clients on a variety of employment matters, including hiring and termination decisions, employee discipline and internal investigations, incentive compensation structure and design, deferred compensation arrangements, restrictive covenants and employee handbooks. She represents companies and individuals in negotiating and drafting complex employment and separation agreements, as well as partnership and services agreements, and routinely advises on transactional matters.

Julia received a B.S. from Cornell University School of Industrial and Labor Relations and a J.D. from Fordham University School of Law, *cum laude*, and is a member of the Order of the Coif.

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## ROBERT E. WOOD

Robert E. Wood is Counsel in the Corporate Finance Group. He represents clients in connection with a broad range of financing transactions involving funds of funds, hedge funds, private equity funds and mutual funds. Such transactions include term and revolving loans, note purchase facilities, capital call facilities, subordinated and mezzanine debt offerings, and loans to high net worth individuals. Robert also represents clients in connection with receivables purchase transactions, derivatives, custody arrangements, prime brokerage agreements and securities lending arrangements.

Robert received a B.A. from St. Joseph's College and a J.D. from Fordham University School of Law.

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## SEWARD & KISSEL LLP

SEWARD & KISSEL LLP, founded in 1890, is a leading U.S. law firm with an international reputation for excellence. We have offices in New York City and Washington, D.C.

Our practice focuses primarily on corporate and litigation work for clients seeking legal expertise in the financial services, corporate finance and capital markets areas. The Firm is particularly well known for its representation of major commercial banks, investment banking firms, investment advisers and related investment funds (including mutual funds and hedge funds), broker-dealers, institutional investors and transportation companies (particularly in the shipping area).

The Firm's attorneys are very experienced and highly regarded in their respective practice areas. Many have been with the Firm for most, if not all, of their legal careers. Our focus and expertise, combined with the Firm's stability, has enabled us to create a work culture that is dedicated to professional excellence and sound judgment, and that is committed to providing our clients with effective, high quality, hands-on legal service.

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