

People



John M. Faust

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John Faust advises investment companies, investment advisers, private funds, broker-dealers, and other financial services clients concerning regulatory issues. John also advises clients relating to the collateral consequences associated with proceedings with the U.S. Securities and Exchange Commission (SEC), Commodity Futures Trading Commission (CFTC), Department of Justice (DOJ), state regulators and others, including seeking and obtaining waivers from the SEC and Financial Industry Regulatory Authority (FINRA). Prior to joining private practice in 2005, John was Senior Counsel at the SEC in the Division of Investment Management.

Related Professional Experience

- U.S. Securities and Exchange Commission (SEC), Division of Investment Management, Senior Counsel

Published Work and Lectures

- *Mutual Funds and Exchange Traded Funds Regulation*, Co-Author, "Purchase and Sales of Mutual Fund Shares," November 1, 2011

Honors and Distinctions

- SEC Honorary Law and Policy Reward, Proxy Review Task Force Member, 2004

Areas of Experience

Investment Management
Corporate
Capital Markets

Education

J.D., Brigham Young University Law School, 2001
M.B.A., Brigham Young University, 2001
B.A., Brigham Young University, Political Science, 1998

Admissions

Bars
District of Columbia

Languages

Portuguese

Related Content

Middle Market Private Equity Firm Settles With SEC for Sharing Insider Information
February 13, 2024

The SEC's Newly Adopted Rules and Rule Amendments for Private Fund Advisers
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February 28, 2023