



## James M. Harrigan

Counsel

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James M. Harrigan is a corporate lawyer who primarily focuses on federal securities law, including disclosure matters, public and private offerings of equity and debt, and corporate governance. He represents investment banks, hedge funds, private equity funds, investment advisers, and broker-dealers in the US, China, Singapore, Hong Kong, and throughout South East Asia.

### Experience

- Exchange Act reporting requirements
- Beneficial ownership reporting requirements pursuant to Section 13 and Section 16 of the Exchange Act
- Private placements of securities pursuant to Regulation D and Rule 144A under the Securities Act
- Transactions pursuant to Rule 144 under the Securities Act
- Equity derivatives transactions
- Compliance with the corporate governance standards of the national securities exchanges, state law, and current best practices
- Broker-dealer registration and compliance with Exchange Act and FINRA rules and regulations, including compliance with FINRA regulation of underwriting compensation and conflicts of interest
- Investment Adviser registration and compliance with the Investment Advisers Act

### Admissions

#### *Bar Admissions*

District of Columbia

Maryland

### Education

University of Virginia School of Law,  
J.D.

University of Maryland, B.A., History