



## ATTORNEYS AT LAW

### Practice Areas

Hedge Funds / Investment Funds

Investment Advisers & Broker-Dealers

Mergers & Acquisitions

Securities & Public Companies

### Education

Yale Law School, J.D., 1993

Rutgers University, B.A., 1990, with College Honors; Highest Honors, Phi Beta Kappa

### Bar Admissions

Connecticut, 1995

### Court Admissions

U.S. District Court, District of Connecticut



### Erik A. Bergman Partner

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Erik Bergman's practice includes the representation of investment advisers, investment funds (including hedge funds, funds of funds, offshore investment funds, private equity funds and other pooled investment vehicles), broker-dealers, placement agents and institutional investors. Mr. Bergman advises clients as to fund structuring and formation, preparation and review of fund offering documents and marketing materials, formation and registration of SEC and state registered investment advisers and broker-dealers, FINRA membership and other licensing matters, development and implementation of compliance programs and procedures, ongoing compliance matters and regulatory examinations, preparation and negotiation of marketing/introduction agreements and investment-related and other matters. Mr. Bergman also represents public and private companies and investment funds, in connection with mergers and acquisitions, investment transactions, and other matters and public companies in connection with securities law issues.

Prior to joining Finn Dixon & Herling in 1998, Mr. Bergman was an associate at Pepe & Hazard LLP and Bingham Dana LLP (now Bingham McCutchen LLP). Mr. Bergman has also worked in the Commissioner's office at the Connecticut Department of Transportation and served in the U.S. Navy.

### Associations and Memberships

Managed Funds Association

Connecticut Hedge Fund Association

### Speaking Engagements

"New Requirements for PE, VC and Hedge Fund Advisers under Financial Reform Legislation", Finn Dixon & Herling LLP Webinar Series, July 2010 ([View presentation](#))