

**Harold B. Finn III**

COUNSEL

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Overview

Harold B. Finn III, a founding partner of the firm, represents trust companies, private companies and individuals in connection with the establishment and operation of registered investment advisers and private investment companies. He also serves as a counselor to private funds in connection with various matters, including mergers and acquisitions, corporate finance and corporate governance.

He received his undergraduate degree from Yale University and received his law degree, *magna cum laude*, from Columbia University, where he was Articles Editor of the *Columbia Law Review*. Following law school, he served as a law clerk on the United States Supreme Court to the late Chief Justice Earl Warren and the late Associate Justice Stanley F. Reed.

Mr. Finn is a former member of the Council of the Business Law Section of the American Bar Association. He is a current member and past Chairman of the Banking Law Committee of the ABA's Business Law Section, and he is a current member of the Section's Federal Regulation of Securities Committee, its Sub-Committee on Hedge Funds and its Task Force on Section 16. In addition, Mr. Finn is the former Chairman of the Securities Advisory Committee to the Banking Commissioner of the State of Connecticut and is past Co-Chair of the Task Force on the Connecticut Business Corporation Act of the Business Law Section of the Connecticut Bar Association. Previously, he has served as Chair of the Business Law Section of the Connecticut Bar Association and as a member of the Advisory Committee on the Revision of the Banking Law of Connecticut. He is an elected member of the American Law Institute.

Mr. Finn is the author of the "Annual Survey of Securities Laws Developments Affecting the Banking and Thrift Industries", which was published annually in *The Business Lawyer Update* from 1986 through 1991, and of "The Impact of the Proposed Federal Securities Code Upon the Banking Industry", 36 *Business Lawyer* 397 (1982), and has appeared as a lecturer and panelist in numerous national, regional and state continuing legal education programs. His reported litigation cases include *Fort Gratiot Sanitary Landfill, Inc. v. Michigan Department of Natural*

Resources, 504 U.S. 353, 60 U.S.L.W. 4438, (1992), *Holly Hill Holdings v. Lowman*, 226 Conn. 748 (1993), *United Illuminating Co. v. City of New Haven*, 240 Conn. 422 (1997) and *Woodbury Knoll, LLC v. Shipman & Goodwin, LLP*, 305 Conn. 750 (2012).

Honors and Awards



Harold B Finn III

Named Senior Statesman for Connecticut, Corporate M&A in Chambers and Partners' 2019 USA Guide.

Recognized as a *Connecticut Super Lawyer* in Banking, Mergers & Acquisitions, Securities & Corporate Finance, 2007-2017 ([view the selection criteria](#))

Leading lawyer in *The Best Lawyers in America* in Corporate, Private Equity, Mergers & Acquisitions, Hedge Funds, Securities, Securities Regulation, 1989-2017 ([view the selection criteria](#))

Publications

"Annual Survey of Securities Laws Developments Affecting the Banking and Thrift Industries," *The Business Lawyer Update*, 1986 - 1991

"The Impact of the Proposed Federal Securities Code Upon the Banking Industry," 36 *Business Lawyer* 397, 1982

Practices

General Corporate

Hedge Funds / Private Equity Funds / Other Investment Funds

Investment Advisers & Broker-Dealers

Mergers & Acquisitions

Securities & Public Companies

Education

Columbia Law School, L.L.B., 1965-1966, Articles Editor, *Columbia Law Review*

Yale University, B.A., 1960, *Dean's List*, honors history program

Bar Admissions

New York, 1967

District of Columbia, 1968

Connecticut, 1974

Court Admissions

U.S. Tax Court, 1974

U.S. District Court Southern District of New York, 1967

U.S. District Court District of Connecticut, 1974

U.S. Supreme Court, 1992

Associations and Memberships

Law Clerk to Justice Stanley F. Reed (Ret.) and Chief Justice Earl Warren, United States Supreme Court, 1966-1967

Connecticut Fund for the Environment, 1997 - 2002, Board of Trustees

Connecticut Banking Commissioner, Advisory Committee, member, 1988 - Present, Vice Chairman, 1988 - 2001, Chairman, 2001 - 2017

Connecticut Business Corporation Act Task Force Co-Chair, 1994 - 1997

Revision of Banking Laws in Connecticut, 1993 - 1994 Advisory Committee

Blue Ribbon Commission of Connecticut Attorney General, 1982 - 1983

Connecticut Bar Association, Executive Committee, Business Law Section Chairman, 1992 - 1994

American Bar Association, Council, Section of Business Law Member, Council, 2000 - 2004

American Bar Association, Section of Business Law, 1979 - Present Committee on Federal Regulation of Securities

American Bar Association, Section of Business Law, Committee on Banking Law Co-Chair, 1994 - 1996; Vice Chair, 1992 - 1994; Chair, 1996 - 1998

American Law Institute, 1976 - Present, Elected Member, Member Consultative Group for Restatement Third Trusts

Greenwich Country Day School, 1987 - 1991 Board of Trustees

Naval War College Foundation, Board of Trustees, 2010 - 2014