



DAREN R. DOMINA

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PRACTICES: Investment Management, Investment Banking and Broker Dealer, Margin Lending and Structured Equity, Capital Markets and Securities, Social Media, Fund Formation and Management, Regulatory Compliance, Family Office, Financial Regulatory, SEC Enforcement, Corporate

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EDUCATION AND CLERKSHIPS

- J.D., New York Law School, 1991
- B.A., Stony Brook University, 1987

ADMISSIONS

- New York

Daren R. Domina is a partner in the Investment Management and Private Equity Practice Groups in the New York office of Haynes and Boone and is the head of the Broker-Dealer Regulatory Practice Group. He provides advice to private investment funds, securities broker-dealers, family offices and registered and unregistered investment advisers on a broad range of formation, structuring, registration, regulatory, compliance and inspection/enforcement/litigation matters.

Selected Publications and Speeches

- "Examining and Managing Risks Associated with Outsourcing Compliance Functions," co-author, *The Review of Securities & Commodities Regulation*, February 10, 2021.
- "Understanding Investment Adviser Registration and Private Fund Due Diligence," speaker, 10th Annual Emerging Issues Forum, MA Public Employee Retirement Administration Commission, September 18, 2014.
- "Broker-Turned-Adviser Loses Jury Verdict in Misrepresentation Case," quoted in *ACA Insight*, August 25, 2014.
- "Dually Registered Advisers are Not Excused from Best Execution," quoted in *ACA Insight*, August 11, 2014.
- "The Secondary Market for Hedge Fund Interests," speaker, New York Family Office - Private Fund Roundtable, June 12, 2013.
- "How and Why Do Hedge Funds Managers Set Minimum Subscription Amounts?" quoted in *The Hedge Fund Law Report*, Vol. 6, No. 23 & No. 24, June 2013.
- "Protecting Your Assets: Utilizing Custodial Accounts and Brokerage Accounts," speaker, Haynes and Boone Seminar, May 2, 2013.
- "Collateral Protection for Financial Assets: Current Legal Trends," speaker, live webinar/teleconference presented by Strafford Publications, Inc., December 4, 2012.
- "Summary and Analysis of Dodd-Frank Rules for Investment Advisers: Registration Requirements, Exemptions, Family Offices, Performance Fee Eligibility," co-author, *Journal of Investment Compliance*, New York: Institutional Investor Publications, Vol. 12, No. 4, December 2011.
- "Dodd-Frank Investment Adviser Registration Update," principal speaker, law firm presentation, September 2011.
- "The Final Countdown...It's Time to Prepare for the New Era of Investment Adviser Regulation!" principal speaker, law firm presentation, March 2011.
- "A Practical Guide to Investment Adviser Registration," principal speaker, law firm presentation, November 2010.

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- "SEC Adopts Amendments That Overhaul Form ADV Part 2," co-author, *Derivatives: Financial Products Report*, New York: Thomson Reuters/WG&L, Vol. 12. No. 2, October 2010.
 - "Consequences for Global Hedge Fund Managers of the 'Foreign Private Adviser' Exemption Included in the Dodd-Frank Act," quoted in *The Hedge Fund Law Report*, Vol. 3, No. 33, August 2010.
 - "Senate Financial Regulation Bill Requires SEC Registration for Hedge Fund Managers with \$100 Million Under Management," co-author, *Derivatives: Financial Products Report*, New York: Thomson Reuters/WG&L, Vol. 11. No. 10, June 2010.