



Susan Wheat Ballard

Associate

Houston

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PRACTICES Investment Management, Corporate

Susan Wheat Ballard is an associate in the Investment Management Practice Group. Susan's practice focuses on assisting investment funds, investment advisors, and commodity pool operators and traders with formation, organization and operation of both hedge funds and private equity funds and their compliance with applicable federal and state laws. Susan also assists various clients with regulatory compliance, including the preparation of securities filings with the SEC, such as Form 13H, Form 13F, Form D and Form ADV as well as beneficial ownership reporting on Schedule 13D, Schedule 13G, Forms 3, 4 and 5.

Susan has experience in a variety of transactions including:

- Structuring and negotiating funds of one.
 - Assisting clients in general corporate matters.
 - Assisting with structuring and forming business entities, including partnerships and limited liability companies.
 - Registration of investment advisers with the SEC and the Texas State Securities Board.
 - Assisting with the representation of clients in private placements of securities.
 - Representing institutional investors in their investments into various private investment funds and investment products.
 - Advising private equity and hedge funds in their compliance.
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QUALIFICATIONS

EDUCATION

- J.D., Southern Methodist University Dedman School of Law, 2017, *SMU Law Review Association*, Staff Editor
- B.S., The University of Texas at Austin, 2014, *with honors*

ADMISSIONS

- Texas