

# Mederic A. Daigneault

SHAREHOLDER

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CONNECT

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## Overview

For more than 20 years, Med Daigneault has counseled businesses and institutions on regulatory financial services matters. His clients include national and international financial services firms, comprising investment advisers, private fund managers (including hedge fund and private equity fund managers), multifamily offices, and broker-dealers. Med has extensive experience partnering with his clients to identify their regulatory requirements, conflicts of interest, and risks to assist in the development, implementation, and testing of compliance programs and supervisory structures. He works closely with his clients on matters concerning compliance with securities laws and regulations, assisting with SEC examinations, and resolving material compliance deficiencies and violations.

During his time as a consultant, Med conducted on-site and virtual mock SEC examinations and compliance reviews of advisers of various sizes ranging from prominent investment managers with global operations and intricate hedge fund complexes, to smaller, yet sophisticated, firms with a handful of staff. Areas reviewed included the latest developments and “hot topics” as well as the core components of compliance programs. He has also drafted and amended Form ADV disclosures for hundreds of investment advisers at both the state and federal levels, including dozens of hedge fund and private equity fund managers.

Med is a frequent speaker at industry conferences and has delivered live and virtual seminars sponsored by custodians, regulatory bodies, and industry groups and associations. He often provides commentary and insights to leading industry publications, including *Bloomberg*, *The Wall Street Journal*, *The Hedge Fund Law Report*, and *Financial Planning Magazine*. In 2015, Mederic also authored an Amazon no. 1 new book in securities law, *The Core: Practical Advisers Act Compliance for the Private Fund Adviser*, and in 2017 was a contributing author and editorial board member for *Modern Compliance: Best Practices for Securities & Finance, Vol. II*.

## Areas of Focus

### Practices

- Financial Services Regulatory
- Securities Litigation and Enforcement
- Digital and E-Commerce Engagement and Innovation

### Industries

- Securities & Investment Companies

## Insights

09.28.2023

SEC Proposal Balances AI-Like Technology Use With Investor Best Interests: Has the Regulator Picked a Winner?

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05.25.2023

Private Fund Advisers on the Hotplate: SEC Turning Up the Heat

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03.01.2023

SEC Proposes to Remake Advisers Act Custody Rule for a Modern World

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## News

02.28.2023

Mederic Daigneault Featured in Law360: “Carlton Fields Adds Financial Regulatory Pro in Hartford”

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02.27.2023

National Regulatory Services Senior Director Mederic Daigneault Joins Carlton Fields

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## Speaking Engagements

- "Mergers, Acquisitions, and Exit Opportunities Considerations," 2023 COMPLYConnect Conference & Expo, Huntington Beach, CA (November 8, 2023)
- Integrity Marketing Group LLC Compliance Summit (2023)

## Credentials

### Education

- Boston College Law School (J.D., 2002)
- Wesleyan University (B.A., 1998)

### Bar Admissions

- Connecticut
- New York

## Background

- Senior Director, Consulting, National Regulatory Services (NRS), Lakeville, CT (2014–2023)
  - Senior Consultant, Investment Adviser Services (2004–2023)
  - Senior Director, Private Fund Services (2010–2018)