

Dee Anne Sjögren

THOMPSON COBURN LLP

Corporate and Securities

Ms. Sjögren focuses her practice on representing registered investment companies in public offerings, including preparation of SEC registration statements and advice with respect to regulatory, compliance and enforcement issues. She has substantial experience in creating 3(c)(1) and 3(c)(7) private investment funds and funds of hedge funds. She also represents pension plans, retirement systems and foundations in negotiating institutional investments in private hedge funds and other private funds that invest in derivatives, real estate, venture capital, leveraged buy-outs and distressed debt. Her practice also includes representing financial planners, investment advisers and broker-dealers regarding SEC, FINRA and state registration, regulatory, compliance and enforcement matters.

Professional Affiliations

- American Bar Association
- The Missouri Bar Association
- The District of Columbia Bar Association

Civic Involvement

- **Financial Planning Association of Missouri/S. Illinois**
Board Member (April 1997-Present)
- **Compagnons du Vin Society**

Honors

- 2008 St. Louis Business Journal "40 Under 40" Award Winner
- Listed in 2009 Best Lawyers in America®

Education

- **Tulane Law School**
J.D., *magna cum laude* (1993)
Order of the Coif
Moot Court Board
- **Vanderbilt University**
B.A., *magna cum laude* (1990)
Phi Beta Kappa

Publications

- Author, "Limits on Mutual Funds' Use of Hedging Strategies and Derivatives" *The Investment Lawyer* (December 2005)
- Author, "10 Practical Tips for Representing Mutual Fund Trustees" *The Investment Lawyer* (July 2005)
- Author, "Securities Law Aspects of Corporate Reorganizations" *Missouri Bar CLE Handbook, Summer 1997* (updated, Summer 2001)
- Author, "An Ounce of Prevention: Conducting a Regulatory Compliance Audit" *The Investment Lawyer, Vol. 3, No. 8, pp.6-11* (November 1996)



Primary Practice Areas

- Corporate Securities

Employment

- **Thompson Coburn LLP**
Partner (2002-Present)
Associate (1997-2001)
- **Peper, Martin, Jensen, Maichel and Hetlage (St. Louis, MO)**
Associate (1996-1997)
- **Kirkpatrick & Lockhart LLP (Washington, D.C.)**
Associate (1993-1996)

Industries of Concentration

- Mutual funds
- Private Equity
- Corporate Securities
- Investment advisers and broker-dealers

Licensure

- Missouri (1997)
- District of Columbia (1994)

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- Author, "CyberFinancing: Prophecy of the Future or Pie in the Sky?" *Kirkpatrick & Lockhart LLP Business Law Update*, pp.1-4 (Summer 1996)
- Author, "State Law Issues: Investment Adviser and Broker-Dealer State Registration" *presented at The Boston Company Investment Management Compliance Seminar in Boston, MA* (June 10, 1996)
- Author, "Dealing with State Securities Regulators" *Securities & Commodities Regulation*, Vol. 28, No. 20, pp. 203-214 (November 22, 1995)

Speaking Engagements

- Speaker, Regulatory Reform, Code of Ethics and Pay to Play Proposal, IAA Compliance Workshop/Dallas, TX (November 19, 2009)
- Speaker, Gain Control Over Your Practice: Rainmaking Techniques for Women, presented at BAMSL/Women in the Legal Profession Section (February 24, 2009)
- Speaker, "The New SEC: Rules, Regulations and Enforcement in a Post-Enron/WorldCom World" presented at the Missouri Bar Annual Meeting in Kansas City, MO (September 13, 2002)

Representative Clients

- Unified Series Trust (Family of 34 mutual funds)
- Builders Fixed Income Fund, Inc.
- Plancorp, Inc.
- Moneta Group Investment Advisors, Inc.
- Kennedy Capital Management, Inc.
- Missouri State Employers' Retirement System
- Public School Retirement System
- Yield Quest Family of Funds
- Baylor Health Care
- The Cleveland Clinic Foundation
- Plaza Financial Advisors, Inc.
- Capital Directions Investment Advisors, LLC
- Harcourt Capital, L.P.
- Acropolis Concentrated Risk, L.P.