

# BARACK FERRAZZANO

Barack Ferrazzano Kirschbaum & Nagelberg LLP

## J. Brent McCauley

Partner

Brent has over 20 years of experience in the financial services industry. He began his career as an examiner with the Office of Thrift Supervision in 1988, where he also worked as a fraud investigator. After law school, Brent was senior regulatory counsel in the legal department of the Federal Reserve Bank of Chicago, handling complex regulatory and supervisory matters. He left the Federal Reserve in 1999 to work as the Assistant General Counsel for Carr Futures, a futures commission merchant subsidiary of Credit Agricole. Prior to joining Barack Ferrazzano, he was a partner in the corporate and financial services department of Ungaretti & Harris LLP.

Brent's practice includes representation of a wide variety of financial institutions, including insurance companies and agencies, broker-dealers, investment advisers, hedge funds and other private equity funds, as well as banks and bank holding companies. He advises these entities on matters such as formation, capital restructuring, mergers, acquisitions and other business combinations as well as regulatory matters affecting such institutions, including capital requirements, licensing, registration and examination and enforcement issues.

### Representative Matters

- **Administrative Enforcement Proceedings**  
Represents financial services industry professionals in disciplinary matters and administrative enforcement proceedings
- **Private Investment Funds**  
Represented multiple sponsors in their formation of and capital raising for private investment funds, investment advisory, regulatory and corporate matters for such funds, including, hedge funds, managed futures funds, commodity pools and private equity funds
- **Regulatory Examinations and Enforcement Actions**  
Assisted numerous clients regarding regulatory examination issues and negotiated more than 100 enforcement actions. Represented many troubled banks regarding insolvency and potential receivership issues



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### Practices

- Financial Institutions
- Corporate and Securities

### Education

- Indiana University School of Law, J.D., 1993
- Ball State University, Honors College, B.S., 1987

### Bar & Court Admissions

- State of Illinois
- State of Indiana

## Articles and Publications

- Client Action Alert - Shifting Consumer Compliance Environment (September 12, 2011)
- Client Action Alert - Overdraft Programs (June 22, 2011)
- Client Alert - Is it Time to "Spring Clean" Your Commercial Customer Agreements? (March 29, 2011)

## Events and Speaking Engagements

- United States Department of State Financial Leadership Delegation (October 2010)
- Legal Update for Community Bankers (Chicago, IL/May 2010)
- Emergency Economic Stabilization Act (EESA) (Webinar/October 2008) (October 30, 2008)
- Various bank association committees regarding Banking Law and Regulation

## Professional Activities and Honors

- Chicago-Kent College of Law, Adjunct Professor-Banking Law and Regulation (2007-present)
- Chairman, Chicago Bar Association Financial Institutions Committee (2005-2006)
- Member, Risk Management Association, Chicago Chapter
- Member, Association of Certified Fraud Examiners
- Member, Chicago Bar Association, Financial Institutions Committee
- Board Member, PURSUE Scholars