



STEVE MUELLER
LEGAL SUPPORT SERVICES

*Financial Services –
Registered Investment Advisors*

REGISTERED INVESTMENT ADVISORS **LEGAL SUPPORT SERVICES SERVICES**

Law Clerk & Advanced Paralegal Services:

- Formation & Structuring
- Financing Arrangements & Tax Considerations
- Complete Corporate Legal Services
- Equity Offerings – Private Placements & Public Offerings
- Debt Offerings – Private Placements & Public Offerings
- Strategic Transactions, including Mergers & Acquisitions, Exit Strategies & Succession Plans
- Strategic Business Plan Development & Assessment
- Special Purpose Entity & Other Strategic Venture Formation & Structuring
- Joint Venture Agreements
- Intellectual Property (Trademark, Copyright, Patents & Licensing)
- Litigation & Dispute Resolution
- Legislation & Rulemaking
- International Transactions
- Banking & Finance
- Insolvency & Workouts
- Labor & Employment
- Privacy & Cybersecurity
- Insurance & Risk Management
- Managing Regulatory Examinations

Continued:

- Marketing & Disclosure Practices
- Client & Service Provider Arrangements
- Investment Advisory Contracts
- Prime Brokerage Agreements
- Wrap Fee Program Agreements & Documents
- Securities Act of 1933
- Securities Exchange Act of 1934
- FINRA rules and regulations
- Municipal Securities Rulemaking Board rules and regulations
- Commodity Exchange Act
- National Futures Association rules and regulations
- Investment Company Act of 1940
- Investment Advisers Act of 1940
- Sarbanes-Oxley Act of 2002
- Dodd Frank and Wall Street Reform Act
- USA PATRIOT Act
- Bank Secrecy Act
- NYSE, NASDAQ Stock Market, Inc. and other exchanges rules and regulations
- Securities Investor Protection Corporation (SIPC) rules and regulations
- Other applicable Federal and state laws
- Arrangements to Enable Affiliates to provide Advisory Services on a Cross-Boarder Basis