



Nikolay Balayan

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Industries

Finance

Practice Areas

Private Equity & Venture

Corporate Law

Investment Management

Private Funds &

Investment Partnerships

Bar Memberships

New York

Languages

Russian

Nikolay advises private investment sponsors on all aspects of their regulatory, compliance, and internal operations obligations.

Nikolay brings considerable experience guiding investment advisers through their regulatory compliance obligations under the Investment Advisers Act of 1940 and related federal securities laws. He also advises clients on regulatory filings, including Form ADV, Form PF, Form 13H, and Schedule 13G.

Clients frequently seek his guidance for assistance with navigating SEC examinations, completing annual compliance reviews, drafting and updating compliance policies and procedures, and conducting compliance trainings. Nikolay regularly counsels clients on current and emerging legal and regulatory requirements that affect private funds and their managers, such as fiduciary duty, marketing practices, custody of client funds and securities, prohibition on insider trading, and pay-to-play restrictions.

Nikolay also advises private investment sponsors on fund formation, including capital raising, marketing activities, preparation of offering documents, and drafting organizational and governance documents.

He counsels clients on regulatory, compliance, and operational considerations throughout the fund lifecycle, advising, for example, on matters related to sponsor carried interest and management company arrangements. Among his sponsor clients are established and emerging hedge fund, private equity, venture capital, growth equity, real estate, and fund-of-funds sponsors.

Prior to joining FBT Gibbons, Nikolay held roles with the investment management practice groups of two international law firms. He was previously a managing director of an alternative assets consulting

firm, where he provided investment managers with a wide range of regulatory compliance services.

Nikolay completed his LL.M. in comparative and international law from Southern Methodist University. He earned his law degree with honors from Saratov State Law Academy and was a Kerr–Nicholas Fellow in American Law at University of Wyoming.

The biography may include matters worked on prior to joining FBT Gibbons.

Other Info About Nikolay

Education

Southern Methodist University, Dedman School of Law, Master of Laws (2009)

Saratov State Law Academy, Diploma in Law (2006), *with honors*

Recognition

Kerr–Nicholas Fellow in American Law (2008)

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[Regulatory Snapshot for Private Fund Managers](#)

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