Patricia M. Plavko

Partner

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Practice Areas

Commercial Finance

Corporate Law

Employee Benefits & ERISA

Family Office Services

Fund Formation & Management

Investment Management

Mergers & Acquisitions

Private Equity & Venture

Public Companies

Securities & Corporate Governance

Startups & Emerging Businesses

Venture

Bar Memberships

Ohio

Patricia is a partner in the Business Combinations and Capital Transactions practice group. Her practice is focused on corporate and securities law, where she advises clients on a broad range of topics, including public offerings, periodic reporting by public companies, federal and state securities compliance, corporate governance matters, private placements, private investment funds, and mergers and acquisitions. She also regularly advises clients on incentive compensation issues, including equity-based and deferred compensation.

Prior to joining FBT Gibbons, Patricia served as in-house counsel at a mutual fund company advising investment companies and their boards on various securities and corporate governance matters. During law school, Patricia spent time as a Law Clerk in the Enforcement Division at the U.S. Securities and Exchange Commission (SEC) and in the General Counsel's Office at the Financial Industry Regulatory Authority (FINRA).

Patricia's Relevant Experience

Public Company Experience

Registration statements, annual reports on Form 10-K, quarterly reports on Form 10-Q, current reports on Form 8-K, proxy and other information statements and SEC comment letters

Corporate governance practices and fiduciary duties, including board committees

Executive compensation plans, including equity and cash-based award types

Mergers, acquisitions and divestitures

Investor relations and institutional governance, including shareholder meetings, communications, nominees and proxy proposals and proxy access

Section 16, Section 13, Rule 144, and insider trading compliance and reporting

State and federal securities registration, compliance and reporting

Crowdfunding offerings under Regulation A+

Entrepreneurial, Start-up, Closely Held Company & Private Fund Experience

Entity selection, formation and organizational matters, including operating agreements, limited partnership agreements, stockholder agreements, and buy-sell agreements

Mergers, acquisitions and dispositions

Employment and independent contractor agreements

Private placements, offering memorandums and subscription documents

Federal and Blue-Sky securities exemptions

Contracts, letters of intent, and confidentiality, non-compete and non-disclosure agreements

Equity incentive plans (including restricted stock and stock options), phantom equity plans, bonus plans and nonqualified deferred compensation plans

Institutional Investor & Fund-of-Fund Experience

Private equity fund and hedge fund legal diligence review and analysis

Limited partnership agreements and operating agreements

Subscription agreements and investor questionnaires

Side letters and most favored nation elections

Co-investments, parallel funds, and continuation funds

Purchase and sale agreements and transfer agreements

Investment management, broker dealer and other financial intermediary agreements

Other Info About Patricia

Education

The Catholic University of America, Columbus School of Law, J.D., 2013, *Cum Laude*
Journal of Contemporary Health Law and Policy – Editor-in-Chief

University of Dayton, B.S.B.A., Economics and Finance, 2010, *Magna Cum Laude*

Recognition

The Best Lawyers in America® – Corporate Law, 2026-2027; Securities Regulation, 2026-2027

Selected for inclusion in *Ohio Rising Stars®*, 2022-2023

Professional Affiliations

Cincinnati Bar Association

Ohio Bar Association

Civic Activities

Ohio Women's Bar Foundation, 2019-2020 Leadership Class

Shared Harvest Foodbank, Board of Directors 2014-Present

Cincinnati Cystic Fibrosis Foundation Finest Under Fifty – 2017

Firm Committees

Women's Initiative Committee, Member and Office Representative

Partner Personnel Committee, Member

Featured Articles

SEC Adopts Final Rules Relating to SPACs

SEC Issues Long-Awaited Private Fund Adviser Rules

SEC Proposes Rule Changes for Private Fund Advisers

It's Time to Update Your Accredited Investor Questionnaires

Important Equity Compensation Reporting and Compliance Reminders

SEC Liberalizes Rules for Private Company Equity Compensation

DOL Edges Toward Delay on Expanded Fiduciary/Conflict of Interest Rules

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