

**Mallon P.C. is a boutique law firm dedicated to excellence in the investment management industry. We provide regulatory and compliance services to small and large managers working with commodities and futures.**

**In addition to CFTC and NFA registration services for both CTAs and CPOs, Mallon P.C. also advises clients with respect to:**

- CTA Separately Managed Account Contracts
- CTA Disclosure Documents
- CTA and CPO Compliance Manuals
- CTA and CPO Compliance Consulting
- CPO Disclosure Documents
- Forex CTA and CPO Registration
- Forex CTA and CPO Disclosure Documents
- Introducing Broker Registration
- Introducing Broker Compliance

**Mallon P.C. also provides the following legal services:**

- Hedge Fund Formation (domestic, offshore, ERISA)
- Investment Adviser Registration (SEC, state)
- Broker-Dealer Formation

**Mr. Bart Mallon, Esq.** is the Principal and Proprietor of Mallon P.C. He provides comprehensive support to investment managers throughout the country and has extensive experience establishing domestic and offshore hedge funds, private equity funds, and other types of pooled investment vehicles and separately managed account structures. Mr. Mallon advises clients on registration matters, operational matters and provides ongoing advice relating to SEC, FINRA, CFTC and NFA regulations. Mr. Mallon received his JD from Emory University School of Law and his BA from the University of Washington. He holds FINRA Series 3, Series 7, Series 24, Series 34, Series 63 and Series 65 exam licenses. Mr. Mallon is admitted to practice in California and currently lives in San Francisco.