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Jutta M. Frankfurter

Of Counsel

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Jutta M. Frankfurter is a corporate and securities attorney with over 15 years of experience providing regulatory and transactional advice to corporate clients in the areas of securities, intellectual property, corporate governance and international business transactions.

Jutta serves as Head of the Business and Finance Group. Her practice focuses on providing legal counsel on an extensive variety of business and operational issues including corporate strategy, organization and launch of new entities, cybersecurity and data breach policies and procedures, intellectual property, due diligence and regulatory compliance.

Prior to joining the firm, Jutta was an associate with Eversheds-Sutherland LLP. Prior to Eversheds-Sutherland, Jutta was a senior associate with Dechert LLP. At both Eversheds-Sutherland and Dechert, she advised mutual funds, business development companies and exchange traded funds, their investment advisers and board of directors in all aspects of operation, including fund registration, fund governance, reporting and disclosure requirements and regulatory compliance under the Investment Company Act of 1940, the Securities Act of 1933, the Securities Exchange Act of 1934, and related federal and state securities laws. She also represented clients seeking relief through the U.S. Securities and Exchange Commission's (SEC) no-action, interpretive and exemptive process.

Jutta is an arbitrator on the roster of the Financial Industry Regulatory Authority (FINRA) Dispute Resolution forum, where she hears securities-related cases about breach of fiduciary duty, unauthorized trading and questionable suitability of recommended investments.

Before relocating to Washington, DC, Jutta practiced in Texas, where she served as corporate counsel to publicly and privately held companies in the technology, health care, agriculture and oil & gas sectors. She provided legal advice about entity formation, private financing, regulatory reporting and debt and equity offerings. She also advised venture capital groups on licensing biotechnology patents from public medical education institutions and negotiated a software licensing agreement between a technology start-up and an Italian software developer. Jutta further secured trademark protection for small to mid-sized companies, including a large cattle ranch and a popular airport chair massage company. She also performed a

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company-wide trademark and intellectual property audit for one of the first providers of Internet services to local governments and government institutions.

Jutta is fluent in German. She organizes international trade missions and meetings among government officials and brokers memoranda of understanding for continued cooperation in trade and education. She originally brokered the longstanding trade relationship between the Ministry of Economics, Transportation, Agriculture and Viniculture of Rheinland-Pfalz, Germany and the State of Texas.

Jutta frequently provides *pro bono* advocacy to veterans before the Department of Veterans Affairs and *pro bono* representation to appellants at the US Court of Appeals for Veterans Claims.

Education

JD, University of the Pacific, McGeorge School of Law

MBA, California State University, Sacramento

BS, *summa cum laude*, University of Maryland

Bar Admissions

District of Columbia

Texas

Memberships

International Trademark Association

Co-Authored Publications

"SEC issues Guidance on Business Continuity Planning for Registered Investment Companies" *Sutherland Legal Alert* (July 15, 2016).

"SEC votes to amend and clarify operation of Redemption Fee Rule" *Journal of Investment Compliance* (Vol. 8/Issue 1 (2007)).

"SEC allows existing Credit Rating Agencies to act as NRSROs" *Dechert On Point* (July 2007/Issue 19).

"SEC's response to appeals court ruling in Chamber of Commerce case leads to further appeal" *Dechert On Point* (July 2005/Issue 14).

Additional Interests

Sailing, golf and travel