



Thomas B. Cain

Associate

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Services

Business & Finance

Investment Management & Broker-
Dealer

Mergers & Acquisitions

Private Equity

Securities

Industries

Financial Services

Thomas Cain focuses his practice on investment management, private equity, business and finance, securities, and mergers and acquisitions.

While attending Wake Forest University School of Law, Thomas worked with the firm as a summer associate in 2018 and 2019 where he researched legal issues such as state and federal fiduciary rules and helped draft legal documents including public and private offering memorandums, client contracts, and organizational documents. He also served as Executive Editor of the *Wake Forest Law Review* and was teaching assistant for the Contracts and Commercial Transactions legal writing course.

While attending Washington and Lee University, Thomas was a management consulting intern with one of the Big Four accounting firms in Washington, DC where he performed and presented background research on the Public Sector market. Thomas also interned in the finance department of a prominent hospitality real estate developer with a national footprint based in Spartanburg, South Carolina.

Education

Wake Forest University School of Law J.D. (2020) *magna cum laude*, *Order of the Coif*

Washington and Lee University B.S. (2017) Accounting and Business Administration, *cum laude*, *Dean's List*

Admissions

Pennsylvania (2021)

North Carolina (2020)

Professional & Community Activities

Washington and Lee University, Peer Counseling Program, Counselor (2014-2017)



Insights

Alert

SEC's Division of Examinations Releases 2022 Examination Priorities

April 19, 2022

Alert

SEC Risk Alert Highlights Registered Fund Compliance, Board Oversight, and Disclosure Obligations

January 31, 2022

Alert

SEC Continues Focus on Conflicts Disclosures in Enforcement Actions Totaling \$106 Million in Fines and Disgorgement

August 11, 2021

Alert

SEC Sanctions Firm for Policies that (Theoretically Could Have) Curtailed Whistleblowers

June 25, 2021

Alert

SEC Expands Focus on ESG-Related Products

June 8, 2021