

## John R. Fahy

Member

[jfahy@whitakerchalk.com](mailto:jfahy@whitakerchalk.com)

817-878-0547



### Background

John R. Fahy is a seasoned securities attorney with significant regulatory experience, including serving as an Enforcement Attorney for the U.S. Securities and Exchange Commission and the Texas State Securities Board. His extensive regulatory experience means that he has a great relationship with regulators, helping him navigate the complex SEC system. He's also served as general counsel of two broker-dealers and an investment adviser. He currently serves as vice-chair and council member of the State Bar of Texas Business Law Section and previously chaired the Section's Securities Law Committee.

John practices securities law, advising broker-dealers, investment advisers, and issuers on regulatory and compliance matters. He helps ensure that people seeking venture capital understand the nuances and hurdles so they can be set up correctly from the beginning in order to avoid complex and costly securities enforcement issues. John is experienced in preparing public and private offering documents, SEC filings and corporate documentation. He also represents clients in inquiries and investigations by the SEC, FINRA, the Texas State Securities Board, and other securities regulators and advises on compliance issues.

### Awards & Recognitions

Named a Top Attorney in Securities Law, Fort Worth, Texas Magazine for 2007, 2008, 2010, 2011, 2012 and 2014, 2015, 2016, 2017, 2018, 2019, 2020, 2021 and 2022

AV-Rated Martindale-Hubbell®: Preeminent™

Recognized as a Top Attorney by 360 West Magazine 2018 to present

### Areas of Practice

Broker-Dealers

FINRA

Investment Advisers

Private Offerings/Regulation D

Public Corporations

Securities

Securities Enforcement

Texas State Securities Board

U.S. Securities and Exchange Commission (SEC)

## Associations & Memberships

Founder and former chapter president of Federal Bar Association – Fort Worth Chapter

Currently Chair of Securities Law Committee of State Bar of Texas Business Law Section

Texas Bar Foundation Life Fellow

American Bar Association

Tarrant County Bar Association



## Education

- JD, University of Texas School of Law
- Masters of Public Affairs, University of Texas
- BA Yale University

## Bar Admissions

- Texas Bar