

# Eric T. Mikkelson

## PARTNER

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Office: Kansas City



## Eric effectively and efficiently implements his clients' business transaction goals.

Eric applies his deep knowledge of his clients' business to create tailored transactional legal advice from small startups to multibillion-dollar deals. He guides clients in the arenas of mergers, acquisitions, and private equity and serves as outside general counsel to companies in diverse industries, drawing on the experience of firm colleagues to serve all their legal business needs. He also serves as the co-chair for the firm's Investment Management practice group, leading teams representing investment advisers and broker-dealers in transactions and compliance matters.

Eric's clients include corporations, limited liability companies, partnerships, registered investment advisers, registered broker-dealers, private equity funds, banks, family offices, governments, individuals, and other entities. Eric's clients rely on him to counsel them on all aspects of transactions and corporate finance, including choice of entity, formation, offerings, securities, contracts, licensing, compliance, restructurings, redemptions, buy-sell/shareholder agreements, acquisitions, sales, mergers, exchanges, joint ventures, compliance, board and other governance, audits, disputes, controversy, liquidations, fund formations, venture capital, dissolutions, and similar matters. Eric also provides compliance, transactional, exam,

## PRACTICES & INDUSTRIES

- Corporate Finance
- Investment Management
- Governance, Risk & Compliance
- Mergers & Acquisitions
- Private Business
- Private Equity
- Venture Capital & Emerging Companies
- Real Estate & Public Finance
- Tax, Trusts & Estates
- FinTech, Payments & Financial Products
- Securities
- Telecommunications

## ADMISSIONS

- Kansas, 1994
- Missouri, 1995
- U.S. District Court for the District of Kansas
- U.S. District Court for the Western District of Missouri
- U.S. Tax Court

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# Eric T. Mikkelson

disclosure, and other advice to investment advisers and broker-dealers regarding SEC, FINRA, and state law.

## EXPERIENCE

### Asset & Stock Acquisitions

Family-owned heavy equipment dealer in its sale of substantially all assets.

NYSE-listed transportation corporation in its cross-border acquisition of a group of companies.

Privately-owned manufacturer in its acquisition of substantially all of its assets of a competitor.

Global client in its acquisition of a private equity portfolio manufacturing company.

Global construction materials company in multiple acquisitions and divestitures of business and properties, with related leases, supply agreements, options and rights of first refusal.

Family-owned manufacturing business in its sale to European private equity group.

Tax-exempt organizations in acquisitions, restructurings, and other transactions.

Retail company in its purchase of a division from a competitor.

### Investment Adviser & Broker-Dealer M&A

Financial services firms (including investment advisers, brokers, and banks) in domestic and international transactions.

### Joint Ventures

Manufacturer in formation of joint venture to acquire a new business line.

## EDUCATION

The University of Kansas School of Law, J.D.,  
1994

Stanford University, B.A., 1990

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## Private Equity & Venture Capital

Private equity funds, and a publicly-held corporation, in multiple real estate development financing investments and joint ventures.

Private equity fund formations.

Entrepreneurs/founders and investors in sales of technology business, angel investments, and subsequent venture capital rounds.

Private equity firm in its sale of a life sciences portfolio company to another private equity fund.

## RECOGNITIONS

Selected to the 2024 edition of *Best Lawyers in America*©

## PROFESSIONAL & CIVIC ACTIVITIES

City of Prairie Village, Kansas

- Mayor, 2019-Present
- City Councilman, 2014-2018
- Finance Committee Chairman 2016-2018

Kansas City Metropolitan Bar Association

- Director, 2011
- Business Law Section, President, 2011
- Corporate Law Committee, Chairman, 2010

Greater Kansas City Chamber of Commerce, Economic Advisory Board

American, Kansas, Missouri and Wisconsin Bar Associations

Prairie Village Municipal Foundation, Director

Prairie Hills Homes Association, Director, 2010-2013

United Way of Greater Kansas City, Metro Ambassador, 2009

The Civic Council of Greater Kansas City's Civic Leadership Academy, Kansas City Tomorrow Class, 2008-2009

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## Eric T. Mikkelson

Johnson County Charter Commission, 2021

Mid-America Regional Council, Director

United Community Services of Johnson County, Director

University of Kansas School of Law, Adjunct Professor

Wyandotte/Johnson County Mayors Council, Past Chair

### NEWS

Eric Mikkelson Analyzes FinCEN's Proposal to Extend AML Rules to Investment Advisers in *Bloomberg Law* Column

04.12.2024

### SPEAKING ENGAGEMENTS

Mergers and Acquisitions, University of Kansas School of Law Class, 2019-Present

2022 Business Law Update - Kansas City

"Negotiating Transition Services Agreements", M&A Boot Camp, Stinson LLP Webinar, September 2022

"Mergers & Acquisitions," Stinson LLP Business Law Update Seminar, 2015, 2017 and 2019

"Corporate Law and Governance Update," Stinson LLP Business Law Update Seminar, 2014

2022 M&A Boot Camp

09.15.2022

### PUBLICATIONS

"FinCEN's Anti-Money Laundering Plan Should Put Advisers on Alert," *Bloomberg Law*, April 2024

"SEC Increases Qualified Client Threshold," Stinson Alert, August 2021

FinCEN Proposes Expanding AML Rules to Investment Advisers

02.21.2024

SEC Enhances Regulation of Private Fund Advisers

09.08.2023

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## **Eric T. Mikkelson**

SEC Adopts Amendments to Form PF for Private Equity Funds

05.15.2023

SEC Proposes Enhanced Safeguarding (Custody) Rule for Registered Investment Advisers

03.20.2023

New Exemption for M&A Brokers from Federal Broker-Dealer Registration

02.10.2023

SEC Staff Posts Conflicts of Interest Guidance for Broker-Dealers and Investment Advisers

08.30.2022

SEC Proposes New ESG Disclosures and Naming Rules for Investment Advisers and Funds

06.02.2022

SEC Proposes New Rules for Private Investment Funds

02.16.2022

SEC Modernizes Investment Adviser Marketing and Solicitation Rules

01.15.2021

New Form CRS to be Required from Investment Advisers and Broker-Dealers Next Week

06.24.2020

SEC Provides Temporary Relief to Investment Advisers From Forms ADV and PF Filing Deadlines

03.19.2020

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