



John M. Faust

Shareholder

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John Faust, a shareholder in Baker Donelson's Washington, D.C., office, helps clients in the financial services industry navigate complex regulatory matters.

John Faust is a trusted advisor to investment companies, investment advisers, private funds, broker-dealers, and a wide range of financial services clients on complex regulatory matters.

John counsels clients on the collateral consequences of proceedings involving the U.S. Securities and Exchange Commission (SEC), Commodity Futures Trading Commission (CFTC), Department of Justice (DOJ), state regulators, and other authorities, including navigating and securing waivers from the SEC and the Financial Industry Regulatory Authority (FINRA).

Before entering private practice in 2005, John served as senior counsel in the SEC's Division of Investment Management.



Professional Honors & Activities

- SEC Honorary Law and Policy Reward, Proxy Review Task Force Member (2004)



Publications

- "SEC Looks to Increase "Qualified Client" Thresholds for Performance-Based Compensation" (March 2026)
- "Regulation S-P: June 3, 2026 Compliance Deadline for Smaller Investment Advisers," republished March 31, 2026, in *Corporate Compliance Insights* (February 2026)
- Co-author – "Purchase and Sales of Mutual Fund Shares," *Mutual Funds and Exchange Traded Funds Regulation*, 2nd Ed., Practising Law Institute (PLI) (November 2011)



Education

- Brigham Young University Law School, J.D., 2001
- Brigham Young University, M.B.A., 2001
- Brigham Young University, B.A., 1998



Admissions

- District of Columbia, 2003