

Alan B. Roth

Partner in Chicago
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Alan concentrates his practice on private equity, private debt and venture capital fund formation with a special focus in small business investment company (SBIC) licensing. His clients say he is “incredibly thorough,” “uber responsive” and is a “business and solutions-focused lawyer.”

Services Corporate & Finance, Investment Management, Private Equity Transactions, Private Investment Funds

Admissions Missouri, Illinois

Court Admissions Northern District of Illinois, U.S. Tax Court

Education New York University, LLM, 1984
Duke University, BA, 1978
Washington University - Saint Louis, JD, 1983

Alan Roth has more than 30 years of experience in the private equity sphere, specializing in SBIC licensing, investment and compliance, fund formation, and corporate acquisitions. He regularly represents private equity sponsors in the pre-licensing and post-licensing stages of the SBIC licensing process. He is continually ranked by *Chambers USA* in Corporate/M&A: Private Equity.

Prior to joining Winston & Strawn, Alan served as the chair of the Investment Funds and SBIC Practice of a large international law firm.

Honors & Awards

- *Chambers USA*, Illinois, Corporate/M&A: Private Equity (2010-2020)
- Legal 500 US, M&A/Corporate and Commercial – M&A: Middle Market (2016)
- Leading Lawyers Network
 - Closely & Privately Held Business (2014-2018)
 - Corporate Finance (2014-2018)
 - Mergers & Acquisitions (2014-2018)
 - Securities & Venture Finance Law (2014-2018)

Credentials

Alan received his B.A. from Duke University. He earned his J.D. from Washington University and his LL.M. in Taxation from New York University.

Publications & Speaking Engagements

- "SBA Backs Off Threat Against Firms That Didn't Need Loans," *Bloomberg*, May 13, 2020
- Panelist, "Small Business Investment Company (SBIC) Advisers Relief Act: The Amendments' Impact to Fund Advisers," The Knowledge Group, June 24, 2016
- "What's New in Licensing," SBIA Western Private Equity Conference, April 13, 2016
- Panelist, "CFO Session: New Developments in Regulatory and Limited Partner Pressures on Fees and Expenses," Southern Private Equity Conference, February 24, 2016