SpencerFane®

Daniel D. Hill

Of Counsel

Contact

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Overview

Daniel Hill helps businesses with investment and securities disputes as well as finance, business, and corporate law matters. As a successful litigator and mergers and acquisitions attorney, he brings a wealth of real-world business experience to his practice.

Daniel has represented businesses of all sizes and statuses, from startups to regional, national, and international entities. His clients include closely held and vertically integrated businesses involved in manufacturing, marketing, and financing. Other clients include SaaS companies, road reclamation and construction companies, iron and steel construction companies, clients with businesses that are open to the public, commercial real estate companies, financial advisors, and East Indian suppliers of IT experts. Daniel also represents several regional and national banks.

As a lucrative business owner and former Senior Corporate Counsel for a publicly traded company doing business in 46 states, Daniel brings many years of a rounded, realistic, and economically rational perspective to the practice of law, representing clients from all sides of the legal table.

In addition to helping his clients in various business and corporate matters, Daniel runs his own finance company.

Education

- University of Minnesota School of Law (J.D.)
- Concordia College (B.A.)

Bar Admissions

- Minnesota
- Texas
- South Dakota
- Utah

Court Admissions

- U.S. Supreme Court
- U.S. Court of Appeals for the Eighth Circuit
- U.S. Court of Appeals for the Tenth Circuit
- U.S. District Court for the District of Minnesota
- U.S. District Court for the District of Utah

Distinctions

- RIA/Financial Advisor Auditor

Memberships

- Utah Bar Association, Securities Law Section, Chair
- Financial Industry Regulatory Authority, Arbitrator
- Minnesota Bar Association
- Texas Bar Association
- South Dakota Bar Association

Presentations and Publications

- "Could this Real Estate Investment be a Ponzi Scheme? Views on Fraud in Utah," Midyear Utah State Bar Conference, March 2018
- "Millennials, Millennial Investing and Robo-Advisors," Utah Financial Planning Association's Annual Symposium, September 2017
- "Social Media and Digital Messaging for Financial," Utah Financial Planning Association's Annual Symposium, September 2017
- "The Reptile Theory at Trial," The Harmonie Group, Vancouver, September 2017
- "DOL Fiduciary," Utah State Bar's Annual Securities Law Workshop, Salt Lake City, August 2017
- "Data Security and Utah Professionals: The Legal and Ethical Obligations," Utah Valley University Business & Economic Forum, May 2017
- "The Reptile Theory at Trial," The Harmonie Group, Boston, May 2017
- "Data Security Failures Lead to $650,000 FINRA Fine and Censure," November 2016
- "Cyber Security Issues in the Financial Industry," Financial Planning Association, Utah Symposium, September 2016
- "Being Compliant with Social Media," Financial Planning Association, Baltimore Convention Center, September 2016
- "Cyber Security Issues in Financial Services: How to Stay Protected," Financial Planning Association, Baltimore Convention Center, September 2016
- "Unwitting Accomplices: Employees and vendors—not hackers—pose greatest data breach threat," *Utah Business Magazine*, July 2016
- "Cyber Security: Emerging Risks and Trends," Utah Valley University Business & Economic Forum, May 2016
- "HB251," March 2016
- "AML Policies – Are You At Risk?" February 2016
- "Why Your Financial Advisor Doesn't Return Your Texts," *Forbes*, December 2015
- "How to Minimize the Risk of Being Sued by Your Client," Financial Planning Association BE Annual Conference, September 2015

- "The SEC's Cyber Security Initiative: What It Means for Compliance," National Financial Planning Association Conference, Boston, September 2015
- "How to Minimize the Risk of Being Sued by Your Client," Utah Financial Planning Association Annual Symposium, Salt Lake City, September 2015
- "Operation Choke Point," Utah State Bar Annual Securities Conference, August 2015
- "Overbroad Confidentiality Provisions in NDAs, Employment Agreements and Settlement Agreements," July 2015
- "Proposed IRA Examination Legislation," June 2015
- "Proposed FINRA Rule 2272 – Sale of Securities to Members of the Armed Services and Their Dependents," Financial Planning Association, June 2015
- "Joint Securities and Insurance Licenses," Financial Planning Association, April 2015
- "SEC/FINRA Focus on Sale of VAs to Seniors," Financial Planning Association, April 2015
- "Utah Financial Capability Survey Results (via FINRA)," Financial Planning Association, April 2015
- "*DOE v Fox Financial* (BD supervision requirements for RIAs)," Financial Planning Association, March 2015
- "Use of Consolidated Reports," Financial Planning Association, March 2015
- "IRA Rollovers," *Forbes*, February 2015
- "IRA Rollovers," Financial Planning Association of Utah, January 2015
- "New Background Check Rule," Utah Financial Planning Association, January 2015
- "Guidelines of Social Media," Utah Financial Planning Association Symposium, 2014
- "One Bad Apple Can Spoil the Barrel," Utah Financial Planning Association, September 2014
- "Variable Annuities Update," Utah Financial Planning Association, October 2014
- "IRA Rollovers Subject to Increasing Regulatory Scrutiny," Utah Financial Planning Association, November 2014
- "Inspection of Branch Offices," Utah Financial Planning Association, December 2014
- "Use of Social Media by Investment Advisors," Utah Securities and Investment Conference, 2013
- "Social Media and Investment Advisers," *Utah Business*, March 2013

Related Experience

- Represented a seller of Utah membership interests to a South Korean entity with a transaction value of $6 million.
- Represented a $6 million sale of a Utah corporation's assets to a Minnesota corporation.
- Represented a seller of Minnesota LLC assets to a Minnesota corporation valued at $8 million.
- Represented a seller of Minnesota corporation assets to a different Minnesota corporation with a transaction value of $12 million.
- Represented a seller of Minnesota corporation assets to a Delaware corporation and Utah private equity firm with a transaction value of $16 million.