



## 2019 CUMMINGS & LOCKWOOD ANNUAL UPDATE

December 30, 2019

To Our Clients and Friends:

This year marked Cummings & Lockwood's 110th anniversary. Our founders, Homer Cummings and Charles Lockwood, opened the firm over a century ago in Stamford, Connecticut. Since then, we have grown to over 200 lawyers, fiduciary accountants, paralegals and staff, with six locations in Connecticut and Florida.

Throughout our history, we have committed our collective judgment and expertise to one simple objective: our client's best interests. Thankfully, we have become known as one of the country's premier law firms devoted to private clients and their businesses.

We are fortunate to have one of the largest and most well-respected trusts and estates practices in the United States, along with various elite commercial practices in the areas of corporate representation, banking and lending, litigation and commercial real estate.

Our lawyers are highly regarded in their respective fields. Many are nationally recognized for their legal skills, judgment and professional ethics by numerous professional rating organizations, leading peer-based associations, and the judiciary.

We are not, nor do we have ambitions to be, the largest law firm measured by total lawyers or offices. Our goal is to be the pre-eminent firm for private clients, institutions and related businesses on their most important legal matters, most significant business transactions, and most crucial disputes.

We are pleased to share with you Cummings & Lockwood's 2019 Annual Firm Update. It highlights some of the work we have performed over the past twelve months, various professional recognitions we have received, and a number of charitable and pro bono initiatives we have been privileged to support.

Our Partners recognize these results would not be possible without our valued clients. We thank you for your trust and support.

With best wishes for a healthy and prosperous New Year.

Sincerely,

Jonathan B. Mills

Chairman & Managing Director

### 2019 Annual Update

#### PRIVATE CLIENTS

In 2019, our Private Clients Group continued to expand upon its past successes in working with high net worth individuals, families, family offices, privately held businesses and charitable entities. Some of the matters on which we advised clients included the following:

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- We counseled individual clients located throughout the United States and abroad in connection with the drafting, updating or amending of their estate plans.
- We helped clients take advantage of the increased federal gift, estate and generation-skipping tax exemptions by developing gift programs and structures tailored to their estate plans.
- We represented numerous owners of privately-held businesses in connection with various estate, succession and income tax planning strategies.
- We represented executors and trustees, and served as individual executors and trustees, on hundreds of trusts and estates matters.
- We advised numerous private family foundations and supporting philanthropic organizations ranging in size from \$500,000 to in excess of \$250,000,000.
- We were retained by leading law firms throughout the country as special counsel on a wide variety of complex estate, gift and charitable tax planning and administration engagements.
- We represented owners of large family real estate compounds in connection with the preservation, management and/or disposition of real estate for conservation purposes or for multigenerational family needs.
- We advised U.S. citizens and resident and non-resident aliens on asset protection planning and on complex international gift, estate and income tax matters.
- We assisted many estate planning clients with changing their domiciles.
- We represented numerous private clients in Connecticut, New York and Florida with respect to the purchase and sale of their residential properties.

## CORPORATE, BANKING AND LENDING

Cummings & Lockwood's Corporate, Banking and Lending Group closed numerous transactions in a wide range of matters, including those for individual investors and entrepreneurs, privately-held businesses, major financial institutions and Fortune 100 companies. Among the significant transactions in 2019 were the following:

- We represented the majority shareholder and founder in a \$2.9 billion stock sale of a Midwest-based life safety, energy, construction and infrastructure company.
- We represented lenders in credit facilities aggregating billions of dollars to hedge funds and their principals.
- We represented a lender in a financing of over \$1 billion for the acquisition of a National Football League team.
- We continue to represent a lender in several financings of other professional sports franchises located throughout the United States, including major league teams in the National Football League, the National Hockey League, Major League Baseball and the National Basketball Association.
- We represented the administrative agent and lead lender in a \$1.35 billion syndicated credit facility secured by a fine art collection.
- We represented the administrative agent and lead lender in a \$1.1 billion syndicated credit facility to a foreign corporation secured by a fine art collection.
- We represented the administrative agent and a lead lender in a \$545 million syndicated credit facility secured by a fine art collection.
- We represented the administrative agent and lead lender in a \$600 million (stepping up to \$900 million) syndicated bridge-subscription credit facility to various private equity funds, as borrowers, secured by unfunded remaining capital commitments of investors to such private equity funds.
- We represented a lender in multiple working capital credit facilities to investment advisors of several private equity and hedge funds, secured primarily by the management fees payable to such investment advisors.

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- We represented an administrative agent in a \$250 million syndicated bridge-subscription credit facility among private equity funds, as the borrowers, and the administrative agent and other lenders thereto, secured by the unfunded capital commitments of the investors to such private equity funds.
- We represented lenders in coinvestment credit facilities aggregating billions of dollars to principals of private equity funds, secured primarily by limited partnership interests.
- We represented a lender in a multi-vintage \$125 million bridge-subscription credit facility among various private equity funds, secured by unfunded remaining capital commitments of the investors to such private equity funds.
- We represented a lender in the restatement of a \$500 million bridge-subscription credit facility to private equity funds, secured by investors' unfunded capital commitments to such private equity funds.
- We represented a local area developer in the acquisition of two large, nationally-recognized coffee chains located in Texas and Arizona, including the negotiation of all franchise and acquisition documents.
- We represented the promoters of an international company that develops, markets and distributes skincare products using medicinal plants, herbs and similar organic ingredients.
- We represented promoters in several private placement transactions.
- We provided corporate governance advice and documentation relating to various investment entities.
- We represented a shareholder in a \$20 million asset sale of a Florida-based concrete and asphalt company.

## REAL ESTATE

Cummings & Lockwood's Real Estate Group served as counsel on numerous transactions during 2019, representing a range of individual clients, companies and developers. Some of our 2019 engagements included the following:

- We represented major institutional owners (both private and publicly held) in connection with the construction, leasing, management and financing of large commercial projects containing millions of square feet of office space.
- We represented a joint venture in the \$350 million lease of a 400,000 square foot headquarters for an international entertainment and media company in lower Fairfield County.
- We represented a national real estate investor group in the marketing and sale of a net-leased headquarters building in a 700,000 square foot water-front office complex in Stamford, Connecticut.
- We represented a major real estate fund in the refinancing, condominiumization, marketing and sale of a water-front, mixed-use project.
- We represented a family estate in the marketing and sale of a large, mixed-use retail portfolio in New York.
- We represented a national energy company in the leasing of various office locations in Connecticut, Florida, Texas and Utah.
- We represented a regional real estate developer in the refinancing of three major office and mixed-use properties located in Connecticut.
- We represented a national real estate owner/developer in the acquisition of a significant, multi-tenant office complex in lower Fairfield County.
- We represented a northeast-based university in the redevelopment of various campus projects, including a major technology innovation center with an international telecommunications company, and a cell tower project.
- We represented a family-owned commercial real estate firm in connection with its \$150 million refinancing of a major office, retail and transportation complex in Greenwich, Connecticut.

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- We represented a local family in connection with the redevelopment of a prominent shopping center, including the negotiation of a \$45 million construction loan, guaranteed maximum price construction contract, and eviction of multiple holdover tenants.
- We structured and closed the rollup and consolidation of six commercial real estate properties capitalized with \$28 million of equity in the Charleston, South Carolina area.
- We represented the seller of a portion of a Stamford, Connecticut corporate campus to a national developer of independent and assisted living facilities.
- We represented a local developer in connection with the negotiation of a joint venture to develop a 486,000 square foot mixed use project in Stamford located in an opportunity zone.
- We represented a NYSE-listed REIT in multiple asset and downREIT acquisitions in Connecticut, New York and New Jersey.
- We represented a variety of owners and tenants in connection with various office, retail and special use property leases, including a lease of a 6.5 acre campus to a private, for-profit school in Stamford, Connecticut.
- We served as national and local real estate and environmental counsel to a number of developers, corporate owners and family offices, including for remediation and environmental land use restriction matters.
- We represented a commercial real estate investment, development and management firm in separate \$8 million and \$16.6 million refinancings from First County Bank of two commercial office properties in Stamford, Connecticut.
- We represented a shopping center family ownership group in a \$45 million construction loan from Trez Capital to redevelop the shopping center into a mixed-use retail and multifamily residential project.
- We represented a commercial real estate investment and management firm in the \$17.5 million sale of the mixed-use National Hall project in Westport, Connecticut.
- We represented tenant-in-common owners in the \$12.4 million sale of a portion of 201 High Ridge Road in Stamford, Connecticut, to be developed into a senior-living project.
- We represented a commercial real estate investment, management and brokerage firm in the general leasing of a 650,000 square foot trophy office complex.

## LITIGATION

Cummings & Lockwood's Litigation Group successfully handled a variety of matters in Connecticut and Florida, as well as on a national and regional basis. These engagements covered a wide spectrum of cases involving individuals, fiduciaries and businesses. Highlights of our successes in 2019 included:

- We served as lead counsel in the defense of the owner of a privately held drug manufacturing company against claims by three former executives over an alleged agreement with the principal shareholder to split ownership of the company. This case went to arbitration in September 2019.
- We served as lead coordinating counsel for a major, international oil and chemical company in connection with its national asbestos litigation docket, helping to achieve successful mediation results and settlements involving hundreds of claims throughout the United States. In addition, as necessary, we assisted with trial preparations and court trials.
- We represented a major pharmaceutical distributor in obtaining a dismissal of a large number of opioid-related lawsuits brought by Connecticut municipalities.
- We successfully defended the CEO of a public company in contempt proceedings brought against him for failing to produce documents from a separate Delaware corporation, which refused to produce the documents for our client notwithstanding that he was a member of its board of directors.

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- We represented individuals as well as Estates in successfully resolving domicile challenges by the Connecticut Department of Revenue Services.
- We successfully represented a national purchasing cooperative before the Connecticut Appellate Court, obtaining an affirmance of a favorable lower court judgment on a Connecticut Unfair Trade Practices claim.
- We represented the owner of a shopping center in successfully resolving a lease dispute that provided our client with the ability to redevelop and expand its shopping center.
- We represented a digital marketing agency in successfully resolving a breach of contract action concerning complex website design issues.
- We were co-counsel in a major divorce case to enforce the provisions of a post-nuptial agreement, which was ultimately favorably settled.
- We represented the owners of several major commercial office buildings in challenging real property tax assessments, resulting in millions of dollars in tax reductions.
- We convinced the Connecticut Supreme Court to dismiss Probate Court proceedings restricting our client's use of funds that had been awarded to her by the September 11th Victim's Compensation Fund. This litigation arose following the death of her husband in the attacks on the World Trade Center in 2001. In a unanimous decision written by the Chief Justice of the Connecticut Supreme Court, *Hynes v. Jones*, 331 Conn. 385 (2019), the final judgment reversed the decisions of the Connecticut Appellate Court, Superior Court, and Probate Court.
- We successfully negotiated and obtained Probate Court approval of a settlement agreement resolving all of the disputes between the two co-trustees of eight multigenerational family trusts and 28 separate adult beneficiaries in four separate generations, and a guardian ad litem for the unborn, unknown and unascertained issue of the grantor, concerning various trust distributions.
- We achieved summary judgment in the Connecticut Superior Court in favor of our client, who asserted a breach of contract claim against a decedent's estate, defeating various estate defenses, including those based on the statute of limitations, the parole evidence rule and the statute of frauds.
- We successfully resolved multiple cases concerning alleged violations of non-competition agreements and misappropriation of trade secrets.
- We favorably resolved a number of commercial disputes for owners of closely held businesses, as well as for employees and officers of public companies.
- We obtained favorable rulings in mediations, arbitrations, and in state and federal courts involving complex commercial disputes.
- We successfully represented petitioners and respondents in conservatorship proceedings throughout Connecticut.
- We successfully represented fiduciaries and beneficiaries in will contests throughout Connecticut.
- We obtained successful resolutions and settlements for individuals and families in various probate contests, fiduciary challenges and state and federal tax audits.

## INDIVIDUAL RECOGNITIONS AND ACHIEVEMENTS

Thirty-three Cummings & Lockwood attorneys in Connecticut and Florida have been listed in the 2019/2020 edition of *The Best Lawyers in America*. Since it was first published in 1983, *Best Lawyers*® has become universally regarded as the definitive national guide to legal excellence. Invitations are based on an elite, member-based nomination and vetting process, that is viewed as the most selective in the profession. We are very pleased that so many of our attorneys have been nationally recognized for their significant legal skills across all of our practice groups.

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## **Stamford**

John W. Cannavino (Since 2013) - Commercial Litigation  
John F. Carberry (Since 2020) - Commercial Litigation  
Margaret A. Deluca (Since 2018) - Trusts and Estates  
Michael J. Hinton (Since 2005) - Real Estate  
Daniel G. Johnson (Since 2018) - Trusts and Estates  
Michael P. Kaelin (Since 2018) - Litigation, Trusts and Estates  
David T. Martin (Since 2020) - Commercial Litigation  
Jonathan B. Mills (Since 1999) - Real Estate  
John R. Musicaro, Jr. (Since 1995) - Trusts and Estates  
Conrad Teitell (Since 1993) - Trusts and Estates, Non-Profit/Charities Law  
Howard S. Tuthill III (Since 1993) - Trusts and Estates

## **Greenwich**

Laura W. Beck (Since 2018) - Trusts and Estates  
B. Cort Delany (Since 2010) - Trusts and Estates  
Daniel P. Fitzgerald (Since 2020) - Trusts and Estates  
Jessie A. Gilbert (Since 2018) - Trusts and Estates  
Douglas H. Olin (Since 2010) - Trusts and Estates  
Edward F. Rodenbach (Since 2007) - Trusts and Estates  
Gina D. Silvestri (Since 2003) - Trusts and Estates

*(Year) Indicates the first year the lawyer was listed.*

## **West Hartford**

Patricia R. Beauregard (Since 2017) - Trusts and Estates  
Paul L. Bourdeau (Since 1991) - Trusts and Estates  
Caroline Demirs Calio (Since 2018) - Trusts and Estates  
Robert B. Fawber (Since 2018) - Trusts and Estates  
Kelley Galica Peck (Since 2017) - Trusts and Estates  
Heather J. Rhoades (Since 2013) - Trusts and Estates

## **Naples**

Todd L. Bradley (Since 2008) - Trusts and Estates  
Alison K. Douglas (Since 2018) - Trusts and Estates  
Kenneth D. Krier (Since 2018) - Trusts and Estates  
Robert L. Lancaster (Since 2018) - Trusts and Estates

## **Bonita Springs**

Mary Beth Crawford (Since 2018) - Trusts and Estates  
William N. Horowitz (Since 2001) - Trusts and Estates  
Howard M. Hujsa (Since 2010) - Trusts and Estates  
David M. Ludgin (Since 1995) - Trusts and Estates

## **Palm Beach Gardens**

David M. Halpen (Since 2013) - Trusts and Estates

In addition, Heather J. Rhoades and Kelley Galica Peck, Principals in the Firm's Private Clients Group based in the West Hartford office, were selected as 2019 "Lawyer of the Year" honorees by *Best Lawyers*<sup>®</sup>.

Twenty-four Cummings & Lockwood attorneys in Connecticut and Florida have been named Super Lawyers or Rising Stars\* in *Super Lawyers* for 2019/2020.

*Super Lawyers*, a Thomson Reuters business, is a rating service of outstanding lawyers from more than 70 practice areas who have attained a high degree of peer recognition and professional achievement.

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The annual selections are made using a process that includes a statewide survey of lawyers, an independent research evaluation of candidates based on 12 indicators, and professional peer reviews by practice area. The result is a credible, comprehensive and diverse listing of exceptional attorneys. While up to 5 percent of the lawyers in a state are named to Super Lawyers, no more than 2.5 percent are named to Rising Stars.

## **Stamford**

\*Stefania L. Bartlett - Nonprofit Organizations

John W. Cannavino - Business Litigation

Daniel G. Johnson - Estate Planning & Probate

Michael P. Kaelin - Estate & Trust Litigation

\*David T. Martin - Business Litigation

\*Katherine A. McAllister - Estate Planning & Probate

Jonathan B. Mills - Real Estate

John R. Musicaro, Jr. - Estate Planning & Probate

\*Cara Howe Santoro - Nonprofit Organizations

Rachel B.G. Sherman - Estate Planning & Probate

\*Brendan P. Snowden - Securities and Corporate Finance

Howard S. Tuthill III - Estate Planning & Probate, Tax

\*Rachel Rhein Zarghami - Estate Planning & Probate

## **Greenwich**

Laura W. Beck - Estate Planning & Probate

\*Daniel P. Fitzgerald - Estate Planning & Probate

\* Rising Stars

All of Cummings & Lockwood's six offices in Connecticut and Florida have been recognized in their metropolitan areas and main practice areas as among the "Best Law Firms in 2020" by *U.S. News & World Report* and Best Lawyers®.

Following are ranking highlights:

- The Firm's Stamford and Greenwich offices were recognized as Tier 1 in four practice areas: Trusts & Estates Litigation, Nonprofit / Charities Law, Real Estate Law and Trusts & Estates Law.
- The Firm's Naples and Bonita Springs offices were recognized as Tier 1 in Trusts and Estates Law.
- The Firm's West Hartford office was recognized as Tier 1 in two practice areas: Trusts & Estates Law, as well as Trusts & Estates Litigation.
- The Firm's Stamford office was recognized as Tier 3 in Commercial Litigation and Labor & Employment Litigation.
- The Firm's Palm Beach Gardens office was recognized as Tier 3 in Tax Law and in Trusts & Estates Law.

## **West Hartford**

\*Andrew M. Nerney - Estate Planning & Probate

## **Naples**

Todd L. Bradley - Estate Planning & Probate

Alison K. Douglas - Estate Planning & Probate

Kenneth D. Krier - Estate Planning & Probate

Robert L. Lancaster - Estate Planning & Probate

Deborah L. Russell - Estate Planning & Probate

## **Bonita Springs**

William N. Horowitz - Estate Planning & Probate Tax

Howard M. Hujsa - Estate Planning & Probate

David A. Ludgin - Estate Planning & Probate

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The U.S. News – Best Lawyers® “Best Law Firms” rankings are based on a rigorous evaluation process that includes the collection of client and lawyer evaluations, peer review from leading attorneys in the field, and review of additional information provided by law firms as part of the formal submission process. To be eligible for a 2020 ranking, a law firm must have at least one lawyer recognized in the 25th Edition of The Best Lawyers in America list for that particular location and specialty.

In addition, for the fourth year in a row, the Firm has been ranked in Tier 1 in Private Wealth Law by Chambers & Partners in their 2019 *Chambers High Net Worth Guide*. The Guide, which is based on objective and independent research, recognizes the world’s leading high net worth advisers. Seven of the Firm’s trusts and estates partners were also recognized by *Chambers* as notable practitioners, including Douglas Olin, Heather Rhoades, Howard Tuthill, Kelley Galica Peck, Laura Beck, Michael Kaelin and Paul Bourdeau.

According to Chambers, “Cummings & Lockwood is ‘known as the pre-eminent trust and estate law firm’ “and is considered to be one of the very best in Connecticut.” “The practice group draws particular attention for the quality of its attorneys. ‘Everyone there is an expert,’ remarks a source. ‘They’re just such a great roster of lawyers. They’re principled people who work hard for their clients,’ says an interviewee. A satisfied client holds the team to be ‘best in class technically,’ such that they ‘stand out in the market.’”

## PUBLIC SERVICE

Cummings & Lockwood has a long-standing tradition of civic and community service. Our lawyers and staff are committed to furthering the public good with their time, their skills and their financial support. We believe these endeavors not only contribute to the communities in which we work, but broaden the experience and judgment of our partners, associates and employees.

The Cummings & Lockwood Foundation was established to promote charitable and public service initiatives in our communities. It is funded annually by Cummings & Lockwood’s Partners, and provides grants and donations to organizations in Connecticut, Florida and other states, as appropriate.

Among the organizations receiving our support in 2019 were the following:

- **Connecticut Legal Services** -- Connecticut Legal Services is Connecticut's largest nonprofit law firm dedicated to improving the lives of low-income people by providing access to justice. They believe that Connecticut can be the first state with universal access to justice - a place where every person is treated fairly and has equal opportunities to thrive.
- **Child Guidance Center of Southern Connecticut** -- Incorporated in 1954, the Child Guidance Center is a non-profit mental health resource for area children and families with a staff of psychiatrists, psychologists, social workers and clinicians. The Center is dedicated to improving the mental and behavioral health of children and teens through treatment, education, and community support.
- **Boys and Girls Clubs of Collier County** -- The organization’s mission is to enable all young people, especially those with the greatest needs, to reach their full potential as productive, caring, responsible citizens. They serve over 3,000 children and teens, ages 6 to 18, in their clubs and afterschool programs. They are dedicated to promoting the education, vocational and health leadership and character of boys and girls in a safe environment. The Club offers award-winning programs to help youth build self-esteem and values.
- **Domestic Violence Crisis Center** -- DVCC’s mission is to provide effective services, support and education for the prevention and elimination of domestic violence across Connecticut and beyond. They provide legal advocacy, counseling services, economic sustainability assistance (employment, education, housing), emergency safe houses, and preventive education for children in pre-kindergarten to the twelfth grade.

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- **Greenwich United Way** -- The Greenwich United Way has been a trusted partner of the Greenwich, Connecticut community, government and local organizations since 1933. They have focused on community solutions in the areas of education, financial stability and health for over 85 years. The organization invests in over 20 community initiatives, and have raised over \$20 million for their partner's programs over the last decade.
- **Junior Achievement of Southwest Florida** -- Junior Achievement's purpose is to inspire and prepare young people to succeed in a global economy. Their programs help prepare young people for the real world by showing them how to generate wealth and effectively manage it, how to create jobs which make their communities more robust, and how to apply entrepreneurial thinking to the workplace. Students put these lessons into action and learn the value of contributing to their communities.
- **League of Women Voters of Connecticut** -- The League is a nonpartisan which neither supports or opposes candidates or political parties at any level of government, but always works on vital issues of concern to members and the public. The League encourages informed and active participation in government, works to increase understanding of major public policy issues, and influences public policy through education and advocacy.

The Foundation also works in coordination with Cummings & Lockwood's Pro Bono Program, which over the years has involved thousands of hours of our lawyers' time donated to numerous causes. Highlights of our pro bono work in 2019 include the following:

- **Survive Cancer, Inc.** – We provided pro bono legal services to Survive Cancer, Inc., a local organization whose mission is to promote health and assist with the education, facilitation and navigation of cancer recovery from diagnosis through survivorship. We assisted with the organization's incorporation under Connecticut law and the preparation and filing of the organization's application for federal recognition of its 501(c)(3) tax-exempt status. Survive Cancer, Inc. assists patients in finding the best information to understand their disease and treatment options, enhance their search for the newest medical treatments that science can offer, and provides information regarding cancer treatments and management to patients and their support groups.
- **African Parks Foundation of America** – We represented African Parks Foundation of America with respect to corporate governance and reporting issues, as well as on certain employment matters. The non-profit organization raises funds from U.S. citizens and the federal government for the rehabilitation and long-term management of African national parks, their wildlife and remaining wild areas in partnership with governments and local communities.
- **Salvation Army** – We handled a pro bono matter in connection with the protection and preservation of a bequest to the Salvation Army under a decedent's will in a contested probate matter. The Salvation Army is an integral part of the Christian Church, although distinctive in government and practice. The Army's doctrine follows the mainstream of Christian belief and its articles of faith emphasize God's saving purposes. Its objects are 'the advancement of the Christian religion... of education, the relief of poverty, and other charitable objects beneficial to society or the community of mankind as a whole.
- **The Naples Players Inc.** – We provided pro bono legal counsel to The Naples Players, whose mission is to enrich, educate and entertain the Naples, Florida, community through a superior theatre experience.
- **Conservancy of Southwest Florida** – We provided pro bono legal services to the Conservancy which maximizes the combined forces of environmental policy, advocacy, research, education and wildlife rehabilitation to protect southwest Florida's natural treasures --- water, land and wildlife -- across five counties in Southwest Florida: Collier, Charlotte, Lee, Hendry and Glades. The Conservancy is committed to helping citizens stay informed, as well as assisting the government and business leaders with science-based research, encouraging them to make growth decisions that keep the health, well-being, and the sustainability of the

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- region in mind.
- **Baby Basics of Collier County, Inc.** – We provided pro bono legal services to Baby Basics of Collier County, Inc. , whose mission is to provide and distribute diapers and kindness to babies of low-income working families.
- **Wilton Athletic and Recreation Foundation** – We provided pro bono legal counsel to the Wilton Athletic and Recreation Foundation (WARF) which raises sponsorship money to finance future maintenance and replacement costs of two Wilton High School athletic fields -- Fujitani Field at Veterans Memorial Stadium and at Lilly Field. The foundation was established as a 501(c)(3) entity so that the sponsorships could be considered tax deductible donations.
- **Surviving Spouse of September 11<sup>th</sup> Victim** – We successfully argued an appeal in the Connecticut Supreme Court on behalf of the surviving spouse of a victim of the September 11<sup>th</sup> terrorist attacks on the issue of whether a September 11<sup>th</sup> Victim Compensation Fund is subject to Connecticut Probate Court Jurisdiction, which resulted in a unanimous decision in her favor, Hynes v. Jones, 331 Conn. 385(2019).
- **Guardianships** – We provided pro bono legal services to several clients regarding guardianships. For example, we served as a Legal Guardian for a mentally disabled non-communicative adult with a variety of health issues, working with his social workers in coordinating his care, programs and living arrangements.
- **Conservatorships** – We provided pro bono legal assistance to several individuals with respect to conservatorships. We were, for example, selected by the Greenwich Probate Court to represent an individual in an application to have a conservator appointed for him. The prospective client consented to the application and a conservator was appointed to manage his affairs.

A number of our Partners and Associates are also active in professional and civic affairs, which include local, state and national bar association committees, as well as municipal councils and commissions.

In addition, many Cummings & Lockwood attorneys and staff volunteer on boards and committees that are dedicated to nonprofit, educational or charitable purposes. A list of representative organizations is included below.

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African Parks Foundation of America  
Alzheimer's Support Network  
American Cancer Society  
American Red Cross  
Americares  
Angels Undercover of Collier County, Inc.  
Baby Basics of Collier County, Inc.  
Barron Collier Booster Club  
Bonita Springs Concert Band  
Bradyssmile.org  
Bridge Family Center  
Bruce Museum  
Brunswick School, Inc., Greenwich, Connecticut  
Care Club of Collier County  
Center for the Arts of Bonita Springs  
Champions For Learning  
Child Guidance Center of Southern Connecticut  
Children in Placement  
Children's Home Society  
Classic Chamber Concerts  
Community Answers, Inc.  
Community Foundation of Collier County  
Community Foundation of Fairfield County  
Community Foundation for Greater New Haven  
Congregation Agudath Sholom  
Connecticut Opera  
Connecticut Polar Bears  
Connecticut Veterans Legal Center  
Conservancy of Southwest Florida  
Darien Arts Center  
Darien Nature Center  
Darien YMCA  
David Lawrence Center & Foundation  
Diocese of Norwich's Outreach to Haiti  
Domestic Violence Crisis Center  
Educational Oceanographic Foundation, Inc.  
Episcopal Diocese of Connecticut  
Fairfield American Little League  
Florida Gulf Coast University Foundation, Inc  
Friends of Foster Children  
Horizons at Brunswick School Student Enrichment P  
Immokalee Foundation  
Inspirica  
Junior Achievement of Southwest Florida  
Junior League of Eastern Fairfield County  
Junior League of Fort Myers  
Kingswood Oxford School, West Hartford, Connecticut  
LawnChair Theatre  
Leadership Bonita  
League of Women Voters  
Legal Aid Service of Collier County  
March of Dimes  
Mark Twain House & Museum  
Meals-on-Wheels, Inc. of Greenwich  
Mental Health Association of Collier County  
Michael Bolton Charities, Inc.  
Naples Botanical Gardens  
Naples Community Hospital  
Naples Historical Society  
Naples North Rotary Club  
Naples Players Endowment  
Neighborhood Health Clinic  
New Canaan Country School  
New Haven Food Bank  
New Horizons of Southwest Florida  
New Paradigm Theatre  
Norwalk Community College Foundation  
Pegasus Therapeutic Riding, Inc.  
Pequot Library  
Prevent Blindness Connecticut  
Renbrook School, West Hartford, Connecticut  
Ron Foley Foundation  
Salvation Army of Southern New England  
St. James's Episcopal Church  
St. Jude Children's Research Hospital  
Seabury Charitable Foundation  
Speakers Assembly of Southwest Florida  
Stamford Downtown ~~Special Services Dist~~  
Stamford Hospital Foundation  
Stamford Jewish Community Center

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## PRACTICES

### Firm Overview

Founded in 1909, Cummings & Lockwood provides sophisticated legal counsel to both private clients and commercial enterprises. Our clients include individuals and families with inherited and newly created wealth, as well as emerging, middle market and Fortune 500 companies. We have nearly 200 employees located in Stamford, Greenwich and West Hartford, Connecticut, and in Naples, Bonita Springs and Palm Beach Gardens, Florida. The Firm provides a broad range of legal services, including trusts and estates, corporate and finance, litigation, and commercial and residential real estate.

### Private Clients Practice

Cummings & Lockwood has one of the largest trusts and estates practices in the United States, with a significant private client base of high net worth individuals and families, family offices, closely-held businesses, and national charities and foundations. Our private clients attorneys, many of whom have been elected to the prestigious American College of Trusts and Estate Counsel (ACTEC), are experienced in the areas of estate planning and administration; estate, income and gift tax; trust formation and management; executor and trustee services; charitable giving and foundations; special needs planning; probate law; and residential real estate. Whether dealing with recently acquired assets or family fortunes that span generations, the Firm provides innovative strategies and solutions to preserve, enhance and transition our clients' wealth, as well as meet their varied legal needs and personal goals.

### Commercial Practice

Cummings & Lockwood has an elite commercial practice with numerous, professionally-recognized lawyers who are experienced in the areas of litigation and dispute resolution; real estate investment and development; banking, lending and credit transactions; corporate acquisitions and divestitures; and partnership, limited liability company and tax matters. Our clients include entrepreneurs, closely-held companies, regional, national and international corporations, hedge funds, private equity firms, financial institutions and not-for-profit organizations.

In addition, Cummings & Lockwood's commercial and private clients lawyers regularly work together to provide entity planning, business succession planning, tax guidance and litigation to privately-owned businesses of all sizes and industries.

## OFFICES

# CUMMINGS & LOCKWOOD LLC

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