

# CUMMINGS & LOCKWOOD LLC



## CUMMINGS & LOCKWOOD'S 2021 FIRM-WIDE ANNUAL UPDATE

December 31, 2021

To Our Clients and Friends:

I hope this finds you and your families well.

2021 has been an especially busy year. The continuation of the COVID-19 pandemic, associated disruptions to the global economy, rising inflation, and a bitterly divided U.S. legislature have created uncertainty and volatility in most markets.

Despite these challenges, Cummings & Lockwood and its clients remain strong. Our firm has stayed open and operational throughout. A top-tier technology platform, great professional commitment, and excellent teamwork have all contributed.

Throughout our 113-year history, we have been governed by one simple principle: to serve our client's best interests. As a result, 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 various professional rating organizations, leading peer review-based associations, and the judiciary. Cummings & Lockwood continues to be ranked as a Tier One, "Best Law Firm" in several practice areas and markets by U.S. News & World Report.

We remain focused on our core practices. Our firm has no ambitions to be the largest law firm measured by total lawyers or offices. Our mission is to be the pre-eminent firm for private clients -- and related institutions and businesses -- on their most important legal matters, most significant transactions, and most critical disputes.

We are pleased to share with you Cummings & Lockwood's 2021 Annual Firm Update. It highlights some of the client work we have performed over the past twelve months. Also included are 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 clients. We thank you for your continued trust and support.

With best wishes for a healthy and prosperous New Year.

Sincerely,

Jonathan B. Mills  
Chairman & Managing Director

**2021 Firm-wide Annual Update**

**PRIVATE CLIENTS**

# CUMMINGS & LOCKWOOD LLC

In 2021, our estate planning attorneys and fiduciary accountants worked closely with our private clients throughout the COVID-19 outbreak and would like to take this opportunity to thank our clients for their continued trust and confidence in Cummings & Lockwood and to wish them good health and prosperity in the New Year.

Over this past year, we advised high net worth individuals, families, family offices, closely held businesses and charitable entities on a broad range of matters, including the following:

- 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 2021 were the following:

- 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 to the owner of a National Football League team.
- We represented the Administrative Agent and lead Lender in a \$225,000,000 working capital credit facility to National Hockey League team.
- We represented a Lender in over \$200,000,000 in loans to owners of National Football League teams under a new lending program.
- 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 \$1.5 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.

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- 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.
- 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 promoters in several private placement transactions and preemptive rights offerings.
- We represented the borrower in a \$72,000,000 refinancing of a term loan, development loan and revolver loan for a franchised national coffee chain network located in multiple states.
- We represented a regional area developer in the negotiation of various franchise documents for a variety of food and drink themed restaurants.
- We provided corporate governance advice and documentation relating to various investment entities.
- We represented the Administrative Agent in a \$850,000,000 syndicated Subscription Credit Facility among Private Equity Funds, as the borrowers, and the Administrative Agent and other Lenders thereto, secured by the unfunded remaining capital commitments of the investors to such Private Equity Funds.
- We represented the Administrative Agent in a \$500,000,000 bilateral Bridge Credit Facility With Qualified Designated Entity Borrowers among Private Equity Funds, as borrowers, and such Lender, secured by the unfunded remaining capital commitments of the investors to such Private Equity Funds.
- We represented the Lender in a \$300,000,000 bilateral Bridge Credit Facility With Qualified Designated Entity Borrowers among Private Equity Funds, as borrowers, and such Lender, secured by the unfunded remaining capital commitments of the investors to such Private Equity Funds.
- We represented the Lender in a \$400,000,000 bilateral Multi-Vintage Subscription Credit Facility with Qualified Designated Entity Borrowers, among Private Equity Funds, as borrowers, and such Lender, secured by the unfunded remaining capital commitments of the investors to such Private Equity Fund.

## REAL ESTATE

Cummings & Lockwood's Real Estate Group served as counsel on numerous transactions during 2021, representing a range of individual clients, companies and developers. Some of our 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 national real estate owner/developer in the \$250 million refinancing of a significant, multi-tenant office complex in lower Fairfield County, Connecticut.
- We represented a national real estate owner/operator in the relocation of a major international tobacco company's Park Avenue, New York headquarters to lower Fairfield County, Connecticut.
- We represented a NYSE-listed REIT in multiple asset refinancings and several proposed downREIT transactions in New York.
- We represented a major private equity real estate investor in its restructuring and lease-up of a trophy office complex in Stamford, Connecticut.
- We represented a commercial landlord joint venture in a major headquarters lease for one of the largest block chain and digital currency investment groups in the country, bringing over 300 jobs to southern Connecticut.
- We represented a leading pharmaceutical company in numerous substantial office and laboratory projects In Connecticut, New York City, Denver and San Francisco.

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- We represented a commercial real estate investment, management and brokerage firm in the leasing and renovation of a 650,000 square foot trophy office complex in Stamford, Connecticut.
- We represented a national real estate investor group in the marketing and sale of a net-leased water-front, mixed-use complex in Westport, Connecticut.
- We represented a major real estate fund in the condominiumization, marketing and sale of a mixed-use office and residential project.
- We represented a family trust in the marketing and ground leasing of a major retail property in Virginia.
- We represented a regional real estate developer in the acquisition of a major multi-family project located in Connecticut.
- We represented a northeast-based university in various projects, including a major technology innovation center with an international telecommunications company, numerous cell tower projects, and the proposed acquisition of another university institution located in Fairfield County, Connecticut.
- We represented a family ownership group in connection with the redevelopment of a prominent Fairfield County shopping center, including the refinancing of a \$45 million construction loan, modification of the mixed-use components of the development, and the eviction of multiple holdover tenants.
- 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 real estate investment and operating company in the sale of two multi-family apartment buildings in Hartford, Connecticut.
- We represented an area developer franchisee company in the acquisition of a new franchise territory and existing stores for a national coffee chain in Texas.
- We represented a Charleston-based private real estate fund in connection with various acquisitions and financings.
- We represented the owners of an existing shopping center in the formation of a new joint venture to develop a mixed-use project in Darien, Connecticut.
- We represented the owner of a retrofitted corporate headquarters campus in an internet auction of the property.
- We represented multiple owners of retail, office and industrial properties in connection with the negotiation of COVID-related provisions in new and existing leases.
- We represented a lender in a mortgage loan to a borrower that was acquiring a distillery out of bankruptcy proceedings.
- We represented a commercial real estate investment, management and brokerage firm in the repositioning and leasing of a water-front office complex in Stamford, Connecticut.
- We represented the buyer in the acquisition of a property in Greenwich, Connecticut, to be developed into multiple single-family homes.
- We represented the developer in obtaining a construction loan for the development of a multifamily property, including a subsequent modification to increase the initial loan amount.
- We represented an internet-based real estate agency in the leasing of its first retail spaces in Westchester and Brooklyn.
- We represented the landlord in connection with a major headquarters lease in Stamford, Connecticut, for the U.S. management company of a French insurance giant.
- We represented the landlord in connection with the headquarters lease of 415,266 rentable square feet in Stamford, Connecticut, for a global entertainment company.

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## LITIGATION

Cummings & Lockwood's Litigation Group successfully handled a variety of litigation matters in 2021 involving individuals, fiduciaries and businesses, including the following:

- 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 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 several large Estates in connection with audits by the Connecticut DRS on the issue of domicile.
- We represented a Connecticut taxpayer in a multi-million dollar personal property tax dispute.
- We represented a Connecticut municipality in connection with a major personal property tax audit involving an large pipeline company.
- We successfully represented a Connecticut property owner in challenging a neighboring property owner's construction of a shoreline flood and erosion control structure, and successfully represented that property owner in the neighbor's appeal to the Superior Court.
- We represented the Executor of an Estate, obtaining summary judgement on a claim for millions of dollars in Supplemental Executive Retirement Plan benefits.
- We represented an Estate in a dispute regarding a multi-million dollar charitable pledge.
- 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 successfully represented numerous executors and trustees against breach of fiduciary duty claims and in fiduciary removal proceedings.
- We obtained successful resolutions and settlements for individuals and families in various other probate contests, fiduciary challenges and state and federal tax audits.
- We represented the purchaser of a large commercial bakery in a dispute with the Sellers.
- We represented the insured in a dispute with a D&O carrier over the payment of benefits.
- We successfully defended a Connecticut University in an arbitration against a seven figure damages claim brought by a cellular services entity for an alleged failure to extend a license agreement. The Arbitration Award was subsequently upheld by the Connecticut Superior Court.
- We successfully represented the executor of an estate in an appeal before the Connecticut Appellate Court in a case alleging tortious interference with inheritance and tortious interference with contract.

## INDIVIDUAL RECOGNITIONS AND ACHIEVEMENTS

# CUMMINGS & LOCKWOOD LLC

## Cummings & Lockwood Attorneys Listed in Best Lawyers in America

Thirty-three Cummings & Lockwood attorneys in Connecticut and Florida have been listed in the 2021/2022 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.

### **Stamford**

- John W. Cannavino (Since 2013) - Commercial Litigation
- John F. Carberry (Since 2020) - Commercial Litigation, Bankruptcy Litigation
- Margaret A. Deluca (Since 2018) - Trusts and Estates
- Michael J. Hinton (Since 2005) - Real Estate, Commercial Transactions/UCC
- Daniel G. Johnson (Since 2018) - Trusts and Estates
- Michael P. Kaelin (Since 2018) - Trusts and Estates Litigation, Labor and Employment Litigation, Commercial Litigation
- David T. Martin (Since 2020) - Commercial Litigation
- Jonathan B. Mills (Since 1999) - Real Estate
- John R. Musicaro, Jr. (Since 1995) - Trusts and Estates
- Rachel B.G. Sherman (Since 2021) - Trusts and Estates
- Conrad Teitel (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, Tax Law
- 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

### **West Hartford**

- 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, Trusts and Estates Litigation
- 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

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- 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 Estate

## Palm Beach Gardens

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

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

## Cummings & Lockwood Recognized Among Best Law Firms

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 2022" 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 the following areas: Trusts and Estates Law and Nonprofit/Charities Law, as well as Tier 2 in Tax Law.
- The Firm's Stamford office was recognized as Tier 1 in Commercial Litigation and Trusts & Estates Litigation, Tier 2 in Bankruptcy Litigation and Tier 3 in Labor & Employment Litigation.
- The Firm's Stamford office was recognized as Tier 1 in Real Estate Law.
- The Firm's West Hartford office was recognized as Tier 1 in two practice areas: Trusts & Estates Law and Trusts & Estates Litigation.
- The Firm's Naples and Bonita Springs offices were recognized as Tier 1 in Trusts and Estates Law.
- The Firm's Palm Beach Gardens office was recognized as Tier 1 in Trusts and Estates Law and Tier 2 in Tax Law.

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 2022 ranking, a law firm must have at least one lawyer recognized in the most recent edition of The Best Lawyers in America list for that particular location and specialty.

## Chambers and Partners High Net Worth Guide Recognizes Cummings & Lockwood

In addition, for the sixth year in a row, the Firm's Connecticut offices were ranked in Tier 1 in Private Wealth Law by Chambers & Partners in their 2021 Chambers High Net Worth Guide. The Guide, which is based on objective and independent research, recognizes the world's leading high net worth advisers.

According to a commentator, Cummings & Lockwood "are an institution in Connecticut. They are excellent in the trust and estates field - this is what they do and they do it best." Another interviewee says that the firm is "in a category of their own," adding: "I have worked with many estate attorneys over my career and have yet to find one that compares with Cummings & Lockwood."

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"They have such a wonderfully talented bench of lawyers - all of their lawyers are very skilled," an interviewee enthuses; "if I have a case with complexity, I always refer to Cummings & Lockwood." Another source remarks: "They are organized, efficient and responsive. They are practical to deal with and have a real wealth of knowledge. They have tremendous expertise when it comes to complex trust and estate matters. They are my go-to firm."

Eight of the Firm's trusts and estates principals have also been recognized as notable practitioners, including Howard (Terry) S. Tuthill III, Paul L. Bourdeau, Heather J. Rhoades, Laura Weintraub Beck, B. Cort Delany, Douglas H. Olin, Kelley Galica Peck and Daniel G. Johnson. In addition, Michael P. Kaelin, a Principal in the firm's Litigation Group, has been identified as a top tier attorney in Private Wealth Disputes.

## 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.

### Cummings & Lockwood Foundation

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 support through our Foundation in 2021 were the following:

- **Stamford Downtown Special Services District**, Stamford, Connecticut -- The vision for Stamford Downtown is to always be the vibrant regional city-center for living, working, shopping, dining, education, culture and entertainment. The mission of the organization is to manage, enhance and promote the Downtown experience. To attain the vision, the following goals have been set: To meet the needs of constituents by efficiently and effectively managing the operation of the Special Services District; to protect and enhance the value of Downtown properties and businesses by informing municipal, state, and federal policies; to continue Stamford Downtown's growth into a mixed-use and vibrant neighborhood through branding, marketing, supporting smart development, and activating street level spaces; to achieve the highest quality public urban spaces with ongoing maintenance and targeted infrastructure enhancements; and to produce dynamic events to draw visitors to Downtown and enhance the resident, worker and student experience.
- **Community Foundation of Collier County** -- The Community Foundation of Collier County, based in Naples, Florida, is a grant-making public charity that pools donations to fund the work of local nonprofits and support positive change in the community. They support local, worthy goals through coordinated investment and the distribution of grants and scholarships. They serve as a change agent for good by being civic leaders on the forefront of conversations to improve and enhance the quality of life in their communities. Finally, they are a resource for donors. Whether giving locally, nationally or internationally, their dedicated team will vet nonprofits and assess giving opportunities through their vast network to help make the most impact.
- **Mill River Park Collaborative** -- Mill River Park Collaborative is the 501(c)(3) nonprofit in Stamford, Connecticut responsible for growing and maintaining Stamford's central park. The Collaborative was established in 2004 to bring to life the community vision of a central park in the heart of downtown Stamford. As a public-private partnership, it works hand-in-hand with donors and the City of Stamford to make Mill River Park a vibrant, evolving green space where the community can gather to relax, play, learn and connect with nature. The Collaborative holds a 10-year renewable contract with the City of Stamford to oversee the design, construction, maintenance and programming of the park. About 30% of Mill River Park's annual budget comes

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- from the city. The remaining two-thirds comes from the generous support of community members.
- **Friends of Foster Children** -- A 501(c)(3) nonprofit organization in Palm Beach County, Florida, their Mission is to foster happy childhoods by enriching lives impacted by foster care. Their Vision is to provide services, support and education to overcome the effects of child abuse and neglect. Their Hope is that every child fostered within their reach feels safe, valued and cared for, enjoys the fullness life has to offer and looks ahead to a future unlimited by their past. Friends of Foster Children is committed to replacing the negative stereotypes of the child welfare system with the positive possibilities for Palm Beach County children. They are uniquely poised to be a family success center at the heart of "fostering happy childhoods. As a family success center they strive to provide comprehensive advocacy for kinship, foster and adoptive caregivers to the youth in the Florida foster care system. As they continue to grow and develop thoughtful community partnerships they are able to provide meaningful family enrichment activities. In the past these have included Busch Gardens for Teens, Rapids Water Park, South Florida Fair, Foster Parent Appreciation luncheon, Graduation party, Thanksgiving blessing baskets, Angel Wishlist, and Winterfest, movie tickets and baseball tickets. New in the past year is access to L.O.T. Medical clinic. This clinic is housed in their building and offers free medical services to everyone, regardless of access to health insurance.
- **Tides Foundation** -- For over 30 years, CREDO and the Tides Foundation have partnered to support nonprofit organizations fighting for vital causes, including women's rights, economic justice, gender equality, and a clean, sustainable environment. Together, they are pushing the progressive movement forward. Since 1976, Tides has scaled more than 1400 social ventures, fueled social change in 120+ countries, and mobilized over \$3 billion for impact. Their Vision is a world of shared prosperity and social justice founded on: equity, human rights, and economic empowerment; sustainable environment; healthy individuals and communities; and quality education. Their Mission is to accelerate the pace of social change, working with innovative partners to solve society's toughest problems. Their Approach is to cross boundaries and link sectors, communities, and cultures; act with empathy and respect; engage with those whose lives are affected; embrace risk; and prioritize ideas that can scale.
- **Liberation Programs** -- Liberation Programs is one of Fairfield County, Connecticut's leading behavioral health organizations specializing in treatment for all types of substance use disorders including alcohol, opiates, depressants, and stimulants. Our goal is to help individuals and families overcome addiction in order to restore their lives and ultimately strengthen our communities. Liberation provides services for adults, youth, and families that include two inpatient treatment programs, outpatient and intensive outpatient services, health education for older adults and people living with HIV/AIDS and other chronic illnesses, treatment and resources for adolescents and their families, education and prevention efforts in the community, mobile harm reduction services, and permanent supportive housing for families. In operation since 1971, the agency has sites in Bridgeport, Greenwich, Norwalk, Stamford, and Westport and served more than 2,400 individuals in our last fiscal year.
- **Women's Business Development Council** -- Headquartered in Stamford, Connecticut, Women's Business Development Council is a 501(c)(3) non-profit organization that is dedicated to providing the tools and resources to help women thrive in business. They believe that when desire, education, and preparation come together, opportunities are created, ideas are ignited, and economies are expanded. Their Mission is to support economic prosperity for women and strengthen communities through entrepreneurial and financial education services that create and grow sustainable jobs and businesses across Connecticut. From starting or growing a business to increasing income, the Women's Business Development Council drives business success in a tangible and accessible way.
- **Ferguson Library** -- Since it first opened its doors at the end of the 19th century, the Ferguson Library's mission has been to provide free and equal access to information, ideas, books and technology to educate, engage and enrich the Stamford, Connecticut community. The innovative programs and services they provide

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- nourish a lifelong passion for learning and growth for children and adults. Last year, they quickly began reimagining library services due to COVID and safely reopened last summer. They work hard to provide transformative experiences for the community, and have become even more nimble as they find new, unprecedented ways to serve. The Ferguson now provides services to nearly a million visitors each year, as well as gives countless others access to their online services.

## Pro Bono Program

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.

In 2021, our pro bono activities included performing legal work for private clients in connection with various conservatorship, guardianship, estate administration, estate planning and income tax matters. We also provided legal assistance to the Connecticut Superior Court and the Connecticut Probate Court. In addition, our attorneys provided pro bono legal services to the following organizations:

- **African Parks Foundation of America (APFA)** – African Parks Foundation of America (APFA) is a non-profit organization working to promote and advance African Parks' mission in the United States. APFA develops and oversees all fundraising from individuals, foundations, corporations, and government agencies to support African Parks' work to save wildlife and wild places across Africa. African Parks takes on the complete responsibility for the rehabilitation, conservation and long-term management of national parks in partnership with governments and local communities. They currently manage 19 national parks and protected areas in 11 countries covering over 14.2 million hectares in: Angola, Benin, Central African Republic, Chad, the Democratic Republic of Congo, Malawi, Mozambique, the Republic of Congo, Rwanda, Zambia and Zimbabwe. The organization was founded in 2000 in response to the dramatic decline of protected areas due to poor management and lack of funding. African Parks utilizes a clear business approach to conserving Africa's wildlife and remaining wild areas, securing vast landscapes and carrying out the necessary activities needed to protect the parks and their wildlife. African Parks maintains a strong focus on economic development and poverty alleviation of surrounding communities to ensure that each park is ecologically, socially, and financially sustainable in the long-term.
- **Baby Basics of Collier County, Inc.** -- Founded 19 years ago by Jean Ann Lynch, President, in Ridgewood NJ, Baby Basics is the only organization that provides free diapers on a consistent basis to low-income working families. She established the organization so that all babies have a chance to grow and thrive and to allow families to allocate the money they would normally spend on diapers toward buying food, paying rent or purchasing medicine for their babies. Now there are 13 programs across the country, including the Collier County program. The entire family feels the impact as the organization also provides a supportive atmosphere and community for these struggling families.
- **Community Foundation of Collier County** -- The Community Foundation of Collier County, based in Naples, Florida, is a grant-making public charity that pools donations to fund the work of local nonprofits and support positive change in the community. They support local, worthy goals through coordinated investment and the distribution of grants and scholarships. They serve as a change agent for good by being civic leaders on the forefront of conversations to improve and enhance the quality of life in their communities. Finally, they are a resource for donors. Whether giving locally, nationally or internationally, their dedicated team will vet nonprofits and assess giving opportunities through their vast network to help make the most impact.
- **Merritt Parkway Conservancy** -- The goal of the Conservancy is to ensure a balance between the functionality of the parkway as a major thoroughfare and the preservation of the original design of parkway's distinctive bridges and landscape. The Parkway is named for Congressman Schuyler Merritt, who long represented the southwestern part of Connecticut in the U.S. Congress and who championed the construction of a parkway to parallel U.S. Route 1. Said Merritt at the Merritt Parkway groundbreaking ceremony in July,

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- 1934: "This great highway is not being constructed primarily for rapid transit but for pleasant transit. This county [Fairfield County] is fortunate in having such beautiful backcountry and it is our great duty to see that these beauties are preserved."
- **New Horizons of Southwest Florida, Inc.** -- New Horizons of SWFL successfully changes the lives of under-resourced students by providing tutoring, mentoring and character-building programs at its trusted neighborhood clubs. They are passionate about equipping Southwest Florida's most vulnerable children and teens with the tools they need to succeed in school and life. They want to see all students grow into successful members of the community and graduate from high school with a plan for the future. New Horizons of SWFL currently serves hundreds of K-12 students alongside dedicated volunteers at 12 locations across Naples, Bonita Springs, Estero and Fort Myers.
- **Pegasus Therapeutic Riding, Inc.** -- After more than 30 years of relying solely on privately owned farms in Connecticut and New York to provide services to people with special needs, Pegasus Therapeutic Riding opened its own facility in Brewster, N.Y., in the fall of 2007. The purchase of the farm was made possible by an extraordinarily generous donor who gave Pegasus \$2.1 million to turn a decades-long dream of owning its own facility into a reality. The mission of the organization is to enhance the lives of individuals who have disabilities and challenges through equine-assisted activities and education. Cummings & Lockwood attorney, John Carberry, was elected President of Pegasus' Board of Directors in September 2021.
- **The Conservancy of Southwest Florida** -- For more than 50 years, the Conservancy of Southwest Florida has been a leading environmental advocacy organization dedicated to protecting the water, land, wildlife and future of its five-county area. The Environmental Science Department conducts innovative scientific research to enhance the body of knowledge to assist in developing real-world applications in conserving, managing, and restoring natural resources. The Environmental Policy and Advocacy Department works to ensure that the region's leaders have the proper tools to make informed decisions about the future of Southwest Florida. From Pre-K through gray, the Environmental Education team is active with all ages. They reach more than 10,000 local school students each year through field trips to the Conservancy Nature Center and outreach programs at area schools. Finally, over 4,000 injured, sick, and orphaned native animals are admitted to the von Arx Wildlife Hospital each year. Most of those injuries stem from interactions that involve humans — including car strikes, domestic pet attacks, window collisions, fishing line and hook injuries, gunshots, and toxicosis. Cummings & Lockwood attorney, Kenneth Krier, serves on the Conservancy's Board of Directors.
- **The Naples Players, Inc.** -- The mission of The Naples Players is to enrich, educate and entertain the Naples, Florida community through a superior theatre experience. They are a premier community theatre, seeking to inspire passion for the performing arts through unparalleled access to the process, experience, and conversations surrounding the arts and our community. The Naples Players continues to celebrate season after season of performances, programs, and classes which are geared towards inspiring community and defining the culture for the future of the arts in Southwest Florida.

## Professional, Civic and Community 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 in which our attorneys are involved can be found below.

- African Parks Foundation of America
- Alzheimer's Support Network
- American Red Cross

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- 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
- 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, Inc.
- Classic Chamber Concerts
- Collier Country Legal Aid
- Community Foundation of Collier County
- Community Foundation of Fairfield County
- 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
- Episcopal Diocese of Connecticut
- Fairfield American Little League
- Florida Gulf Coast University Foundation, Inc
- Friends of Foster Children
- Friends of Materials for the Arts
- Greater Hartford Arts Council
- Greater Naples Area Planned Giving Council
- Greater Naples Chamber
- Greenwich Hockey Club
- Greenwich Tree Conservancy
- Guardianship & Advocacy Resource Program, Inc.
- Gulfshore Playhouse
- Hackers for Hope
- Hartford Foundation

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- Hartford Golf Club
- Hartford Stage Company
- Hartford Tennis Club
- Helen M. deKay Foundation
- Holly Pond School
- Holocaust Museum and Education Center of Southwest Florida
- Hope for Haiti
- Horizons at Brunswick School Student Enrichment Program
- Immokalee Foundation
- Junior League of Fort Myers
- Kingswood Oxford School, West Hartford, Connecticut
- Leadership Bonita
- Liberation Programs
- March of Dimes
- Meals-on-Wheels, Inc. of Greenwich
- Mental Health Association of Collier County
- Metropolitan Museum of Art
- Naples North Rotary Club
- Naples Players Endowment
- New Canaan Country School
- New Haven Food Bank
- New Horizons of Southwest Florida
- New Paradigm Theatre
- Norwalk Community College Foundation
- Pegasus Therapeutic Riding, Inc.
- People Friendly Stamford
- Pequot Library
- Prevent Blindness Connecticut
- Renbrook School, West Hartford, Connecticut
- Ron Foley Foundation
- Saint Joseph Parenting Center
- Salvation Army of Southern New England
- St. James's Episcopal Church
- Seabury Charitable Foundation
- Southwest Florida Community Foundation
- Speakers Assembly of Southwest Florida
- Stamford Downtown Special Services District
- Stamford Hospital Foundation
- Stamford Symphony Orchestra

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- The Golisano Children's Museum of Naples
- The Village School of North Naples
- The Windward School
- Town of Wilton, CT, Board of Finance
- Truglia Thumbelina Fund
- UNICO Farmington Chapter
- United Way
- USO of Metropolitan New York
- Westport Country Playhouse
- Westover School, Middlebury, Connecticut
- Wills for Heroes

## 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 over 200 attorneys, fiduciary accountants and staff located in offices 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 arbitration 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.

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