

Fabio Battaglia III

Partner

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Fabio Battaglia focuses his practice on counseling investment companies and investment advisers in connection with various regulatory, compliance and transactional issues.

Fabio advises clients on a range of investment management and securities law matters, including the formation, registration and ongoing operations of registered investment companies; the preparation of regulatory filings; and the drafting of compliance procedures and corporate policies. He also has extensive experience dealing with multi-manager and sub-advised mutual funds, exchange-traded funds and closed-end funds. In addition, Fabio works with investment advisers and sponsors on the formation of private investment funds, including domestic and offshore hedge funds.

RESULTS

- represented a global asset management company in the creation and launch of a family of ETFs, including obtaining SEC exemptive relief, completing SEC registration, and preparing and negotiating organizational documents and agreements
- provided advice to a subsidiary of a large insurance company related to the formation and operation of several hedge funds
- represented a global asset management firm in connection with the creation of a multi-strategy, alternative investment mutual fund, including the engagement of over 15 sub-advisers
- represented a registered investment adviser in connection with preparation of investment management agreements
- advised the independent directors of a mutual fund complex on a variety of matters related to the consolidation and restructuring of the boards
- interfaced with the SEC staff on behalf of clients in obtaining interpretive guidance and no-action relief, as well as several exemptive orders
- represented an investment adviser in connection with the acquisition of a large mutual fund complex
- counseled several mutual fund, ETF and investment adviser clients in connection with SEC compliance examinations

While pursuing his J.D. at Villanova University School of Law, Fabio worked in the legal advisory department of Merrill Lynch Investment Managers. He is also a

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FOCUS

Investment Management
Registered Investment Companies
Private Investment Funds
Exchange-Traded Funds (ETFs)
Independent Trustee Counsel
Investment Advisers
Insurance Products
Environmental, Social and Governance
Alternative Funds

BAR ADMISSIONS

Pennsylvania
New Jersey

EDUCATION

J.D., Villanova University School of Law
B.A., Villanova University



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frequent speaker on a range of topics related to the regulation of the investment management industry.

SPEAKING ENGAGEMENTS

- Speaker, "Operation and Regulation of Investment Vehicles: Mutual Funds, Exchange-Traded Funds & Hedge Funds," Global Asset Management Education Forum (2012 – 2018)
- Panelist, "Nuts & Bolts of Being a Director," Mutual Fund Directors Forum Directors' Institute (2015 – 2018)
- Panelist, "What's on the ETF Horizon?" Investment Company Institute: Mutual Funds and Investment Management Conference
- Panelist, "Active ETFs: The Path to Product," Stradley Ronon seminar
- Speaker, "The Director's Point of View: A Discussion of Current Mutual Fund Issues," Stradley Ronon seminar
- Presenter, "New Dodd-Frank Investment Adviser Rules: How Will They Impact Your Firm?" National Regulatory Services webinar
- Speaker, "Exchange-Traded Funds: The Current State of Regulation and a Look Forward," Stradley Ronon webinar

RECOGNITION

- *Suburban Life Magazine*, "Five-star Attorney"
- *Suburban Life Magazine*, "Top Attorney"
- *The Legal 500 U.S.*, recommended for mutual/registered funds

