

Jana L. Cresswell

Partner

Philadelphia, PA

215.564.8048

jcresswell@stradley.com



Jana Cresswell advises investment management clients on regulatory matters, state and federal securities law compliance, and general corporate matters. She focuses her practice on providing comprehensive and practical advice to investment advisers, mutual funds and closed-end investment companies with respect to compliance with the 1940 Act, as well as other federal and state laws and regulations. She provides guidance regarding the formation, structure and registration of investment companies; the preparation of disclosure documents provided to shareholders and filed with the SEC; service provider contracts; compliance policies and procedures; and board reporting. Jana also advises independent directors of investment companies in corporate governance and regulatory matters.

RESULTS

- assisted clients in creating new funds that: (1) utilize multiple class, fund of funds or master-feeder structures; (2) invest in alternative asset classes (e.g., commodities) or engage in complex derivative transactions; or (3) employ alternative strategies (e.g., absolute return, managed volatility, long/short, market neutral and 130/30)
- assisted clients with respect to internal fund reorganizations and external fund adoptions
- managed complex-wide proxy solicitations, including one involving over 90 funds and 14 proposals that included soliciting shareholders in a master-feeder structure
- negotiated new sub-transfer agency agreements, bank trust agreements, dealer agreements and participation agreements for an investment company complex
- negotiated prime brokerage and other third-party agreements for a number of clients
- assisted clients in responding to SEC inquiries and sweep exams
- assisted an advisory client in conducting due diligence in connection with a possible acquisition
- advised clients with respect to compliance policies and procedures

FOCUS

Investment Management
Registered Investment Companies
Independent Trustee Counsel
Derivatives & Commodities
Investment Advisers

BAR ADMISSIONS

Pennsylvania

EDUCATION

J.D., University of Pennsylvania
Law School

B.A., *summa cum laude*, University
of Delaware



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SPEAKING ENGAGEMENTS

- Panelist, “The Funds They Are A-Changin: A Closer Look at Mutual Fund to ETF Conversions,” Stradley Ronon Seminar at the 2023 ICI Investment Management Conference

PUBLICATIONS

- Co-author, “New Derivatives Rule: A Fund Board’s Responsibilities,” *Fund Board Views*

