

Amy C. Fitzsimmons

Partner

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Amy Fitzsimmons advises investment company and investment advisory clients on regulatory, compliance and transactional matters under federal and state securities laws. Her practice includes assisting clients with registration and regulation of new and existing funds; board issues; fund restructurings; fund shareholder meetings and proxy materials; and other regulatory and compliance matters.

With respect to investment advisory clients, Amy concentrates on registration, regulation, contract and compliance matters under the Investment Advisers Act and state securities laws.

RESULTS

- established a variety of funds for clients including alternative funds that: (1) invest in specific complex instruments such as commodities and derivatives; (2) utilize special structures, such as a manager of managers or fund of funds structures; and (3) employ alternative strategies, such as a long-short, diversified/asset allocation and managed volatility strategies
- represented clients in internal fund reorganization and external adoptions of mutual funds by other fund groups
- represented various investment advisory clients in registrations with the SEC and/or transitions between state and federal registration
- represented clients in connection with proxy statements for various proposals including advisory and/or change-of-control changes, manager of managers structure approval, fundamental investment restriction changes, fund structure and/or organizational changes

SPEAKING ENGAGEMENTS

- Panelist, "Leveraging Technology for Effective Oversight Programs," Investment Company Institute's Tech Summit

FOCUS

Investment Management
Registered Investment Companies
Independent Trustee Counsel
Investment Advisers

BAR ADMISSIONS

Pennsylvania

COURTS

United States Court of Appeals for the Third Circuit

United States District Court for the Eastern District of Pennsylvania

EDUCATION

J.D., Temple University Beasley School of Law

B.A., Pennsylvania State University

MEMBERSHIPS

American Bar Association

