

Alan P. Goldberg

Partner

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Alan Goldberg's practice focuses on representing registered investment companies and their independent board members, registered investment advisers, sponsors to unregistered investment pools and family offices. Alan handles all aspects of creating registered investment companies and registering new investment advisers, including the establishment of compliance policies and procedures. He regularly prepares regulatory filings and applications on behalf of investment companies, including mutual funds, exchange-traded funds, closed-end funds and investment advisers. He has performed numerous comprehensive compliance reviews of investment advisers and investment companies. Alan also routinely handles all aspects of investment adviser and fund merger transactions and all aspects of forming unregistered investment funds including those that rely upon Section 3(c)(11) of the Investment Company Act.

Prior to joining Stradley Ronon, Alan worked at another law firm, where he represented investment companies, their boards and investment advisers. Alan was an associate at a major New York-based law firm, where he worked on regulatory and compliance matters for large institutional asset management clients. He also served as counsel to Price Waterhouse LLP's investment management and regulatory consulting services, and as an enforcement attorney in the investment management section of the New York Regional Office of the U.S. Securities and Exchange Commission where he investigated and prosecuted violations of the federal securities laws.

Alan is a frequent speaker on a variety of investment advisory, investment company and compliance topics.

SPEAKING ENGAGEMENTS

- Moderator, "Compliance Testing and Use of Technology," Investment Adviser Compliance Conference
- Presenter, Chicago Chief Compliance Officer Roundtable
- Presenter, "Investment Adviser Developments," Stradley Ronon's Investment Management Group Regulatory Update CLE Seminar
- Presenter, "Investment Company Developments," Stradley Ronon's Investment Management Group Regulatory Update CLE Seminar
- Speaker, "2017 Chicago Compliance Workshop," Investment Adviser Association

FOCUS

Investment Management
Independent Trustee Counsel
Investment Advisers
Common & Collective Trust Funds
Fiduciary Governance
Special Situations
Cryptocurrency and Blockchain
Alternative Funds

BAR ADMISSIONS

Illinois
New York

COURTS

U.S. District Court for the Southern
District of New York

EDUCATION

J.D., Temple University Beasley School
of Law
B.A., University of Pennsylvania



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- Speaker, “Key Issues in Negotiating Vendor Contracts and in Vendor Due Diligence,” 2017 Investment Adviser Compliance Conference

RECOGNITION

- *Chambers USA: America's Leading Lawyers for Business*, listed for nationwide registered funds
- *The Legal 500 U.S.*, recommended for mutual/registered funds

STRADLEY
RONON