

David F. Roeber

Partner

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Dave Roeber primarily focuses his practice on counseling registered investment companies, their independent trustees/directors and investment advisers on a variety of governance, compliance and corporate matters. Dave advises clients on regulatory responsibilities under the federal securities laws, including the Investment Company Act of 1940, the Investment Advisers Act of 1940 and the Sarbanes-Oxley Act of 2002.

RESULTS

- Ongoing representation of the independent directors/trustees of mutual funds, including “manager-of-managers” funds, on routine and non-routine matters.
- Enhanced governance programs for registered fund boards in light of industry best practices, including reviews of committee structures, committee charters and the 15(c) process.
- Provide ongoing subject-matter advice related to audit committee governance and financial reporting for registered funds, including interfacing with the staff of the U.S. Securities and Exchange Commission.
- Advised independent directors/trustees of registered funds regarding their responsibilities in connection with external reorganizations.
- Assisted in the representation of several leading global investment firms, including various board and committee matters, registration statement review and compliance, and fund reorganizations.
- Assisted with the organization and launch of unique products for otherwise open-end fund complexes, including an exchange-traded fund and an interval fund.
- Ongoing representation of a nonprofit legal services organization with respect to corporate governance matters.
- Obtained criminal record expungements for pro bono clients in New Jersey.

PUBLICATIONS

- Author, “Considerations for Mutual Fund Boards Overseeing Sub-Adviser Transitions,” *Fund Board Views*
- Author, “Board Oversight of Valuation: Key Takeaways from the New Rule,” *Fund Board Views*

FOCUS

Independent Trustee Counsel
Registered Investment Companies
Investment Advisers
Investment Management
Exchange-Traded Funds (ETFs)
Interval Funds

BAR ADMISSIONS

Pennsylvania
New Jersey

COURTS

U.S. District Court for the Eastern District of Pennsylvania

EDUCATION

J.D., with *high honors*, Rutgers University School of Law - Camden
B.A. and B.S., Taylor University

MEMBERSHIPS

Stradley Ronon Diversity Committee
Stradley Ronon Pro Bono Committee
Volunteer UP Legal Clinic Advisory Board
and Founding Board of Directors



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- Co-author, “SEC Alleviates Compliance Challenges of Auditor Independence Loan Rule,” *The Investment Lawyer*
- Co-author, “Overview of Compliance Considerations for Advisers to Registered Investment Companies,” *Modern Compliance Volume II: Best Practices for Securities & Finance*, Chapter 4

RECOGNITIONS

- Martin Luther King, Jr. Freedom Medal, Camden County, New Jersey
- New Leader of the Bar, *New Jersey Law Journal*
- Recommended for mutual/registered/exchange-traded funds, *The Legal 500 US*
- Pro Bono Award, New Jersey State Bar Association
- Chancellor’s Award for Alumni Civic Engagement, Rutgers University School of Law – Camden

IN THE COMMUNITY

Dave is deeply committed to supporting communities and causes through his pro bono efforts in Camden, New Jersey, and surrounding communities. In 2014, he began volunteering with UrbanPromise, a nonprofit that helps families remove barriers to their success across several areas, serving on its corporate committee and assisting with fundraising efforts.

Dave helped to organize and launch what would become the Volunteer UP Legal Clinic, a nonprofit corporation that provides legal services to members of the community. He previously served as volunteer lead attorney and assisted with all aspects of the clinic’s operations, and now serves on its advisory board and on the founding board of directors.

