

Joel D. Corriero

Partner

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Joel Corriero primarily counsels investment companies, including exchange-traded funds (ETFs), mutual funds, insurance-dedicated funds and closed-end funds, and investment advisers on regulatory and compliance matters. For investment companies, Joel advises on all aspects of the representation, including matters pertaining to their initial creation, including formation of their advisers and establishment of their boards, and continued compliance with the federal securities laws. For ETFs and closed-end funds, Joel advises on matters relating to exchange listing and compliance. He is also experienced in closed-end fund initial public offerings (IPOs), negotiations with authorized participants and market makers for transactions in ETF shares and matters impacting insurance-dedicated funds, including their design, marketing, sale and regulation.

In addition, Joel drafts and reviews critical fund documents, such as registration statements, proxy solicitation materials and exchange listing applications. He also counsels on transactional matters, such as mergers and acquisitions and has experience drafting and negotiating various agreements for investment companies and investment advisers.

RESULTS

- advised Franklin Templeton in launching its Franklin Responsibly Sourced Gold ETF (ticker: FGLD), a physically backed gold exchange-traded product (ETP) with an ESG focus that is registered under the Securities Act of 1933
- assisted in the representation of one of the firm's largest investment fund clients (and one of the top 20 fund groups in the U.S.) on two transformational acquisitions, including the acquisition of an ETF business, involving the reorganization of 67 ETFs into the client's platform, and the acquisition of an asset management business with 104 mutual funds and ETFs, as well as collective trusts, UCITS, separate accounts and private accounts, totaling approximately \$250 billion
- assisted one of the world's largest asset managers with the launch of its first suite of strategic beta and active ETFs
- assisted in the representation of an investment adviser, which sponsored a suite of smart beta ETFs focused on emerging markets, with the sale of its business to a global asset management firm
- assisted with the launch of several alternative investment mutual funds for one of the leading global providers of alternative investments,

FOCUS

Investment Management
Registered Investment Companies
Exchange-Traded Funds (ETFs)
Closed-end Funds
Investment Advisers
Insurance Products
Interval Funds

BAR ADMISSIONS

Pennsylvania
New Jersey

COURTS

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

EDUCATION

J.D., *magna cum laude*, Widener University School of Law
B.A., *cum laude*, Rutgers University



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including matters related to registration statement review and compliance, and the drafting of complex strategy and risk disclosure

SPEAKING ENGAGEMENTS

- Presenter, “How the New ETF Rule Changes the Regulatory Landscape,” Stradley Ronon Webcast

RECOGNITION

- *Fund Intelligence*, Rising Star

