

## Lisa A. Duda

### Senior Counsel

Philadelphia, PA

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Lisa Duda is an experienced and proactive adviser to investment management clients on federal securities law matters. Her practice includes counseling investment companies, investment advisers and independent directors on complex securities law issues arising under the Investment Company Act of 1940 and the Investment Advisers Act of 1940. She also assists clients with regard to compliance and valuation matters and provides advice to boards of directors on various governance issues. Lisa's clients include sub-advised and multi-managed mutual funds and their independent directors.

### RESULTS

- assisted in the implementation of a unique institutional complex of mutual funds involving fund-of-funds and asset allocation, which involved the receipt of three SEC exemptive orders
- structured and implemented an affiliated fund-of-funds product involving a master fund/feeder fund structure, including the preparation of the SEC exemptive application for such structure
- obtained an SEC exemptive application resulting in the first joint-trading account order extending the maturity and types of instruments as permissible investments
- managed several investment company merger transactions, including both affiliated and non-affiliated fund complexes
- advised a mutual fund audit committee and board regarding a complaint filed under the anti-retaliation provisions of the Sarbanes-Oxley Act of 2002 and coordinated the internal investigation in response to the complaint
- assisted mutual fund nominating and governance committees with regard to board transition matters
- assisted mutual fund independent directors with strategic issues relating to chief compliance officer retention and replacement issues
- advised mutual fund independent directors with regard to portfolio compliance issues and remedies

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### FOCUS

Registered Investment Companies  
Independent Trustee Counsel  
Investment Advisers  
Investment Management

### BAR ADMISSIONS

New Jersey  
Pennsylvania

### COURTS

Pennsylvania Supreme Court  
New Jersey Supreme Court

### EDUCATION

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

### MEMBERSHIPS

American Bar Association



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## **SPEAKING ENGAGEMENTS**

- Panelist, “The Director’s Point of View 2013: Bringing Current Mutual Fund Issues into Focus”

## **RECOGNITIONS**

- *The Legal Intelligencer*, Lifetime Achievement Award

## **IN THE COMMUNITY**

Lisa sits on the board of directors of the Drueding Center, the first transitional housing and comprehensive support program for homeless women and children in Philadelphia.

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