

J. Stephen Feinour Jr.

Partner

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Steve Feinour focuses his practice on counseling investment companies and investment advisers in connection with various regulatory, compliance and transactional issues. He regularly advises clients on matters such as the formation, registration and ongoing regulation of investment companies, including index-based and actively managed exchange-traded funds (ETFs). He is also a frequent speaker on ETF related topics.

Steve's legal representation includes:

- preparing regulatory filings
- drafting and reviewing registration statements and proxy solicitation materials
- counseling boards of trustees/directors on governance matters
- researching various securities and corporate law issues
- drafting corporate policies and compliance procedures
- assisting ETFs in obtaining exchange listing approvals
- negotiating service provider agreements

Prior to joining Stradley Ronon, Steve served as a law clerk for the Hon. Bonnie Brigrance Leadbetter of the Commonwealth Court of Pennsylvania.

RESULTS

- advised numerous start-up investment advisers and established global investment firms in developing, launching and operating index-based (including smart beta) and actively managed ETFs across all asset classes
- advised an investment adviser in launching its first mutual funds, including converting three private funds into the newly created mutual funds
- advised asset management firms in purchases and sales of registered investment advisers, fund adoptions and mergers of registered investment companies, including:
 - advising an ETF investment adviser in its sale to a global investment firm

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FOCUS

Registered Investment Companies
Exchange-Traded Funds (ETFs)
Investment Advisers
Investment Management

BAR ADMISSIONS

Pennsylvania
New Jersey

EDUCATION

J.D., William & Mary School of Law
B.A., *magna cum laude*, University of Pennsylvania

MEMBERSHIPS

Former Chair, Philadelphia Young '40 Act
Lawyers Roundtable



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- advising a financial services firm in the sale of its institutional investment management subsidiary, including the reorganization of a family of mutual funds over to the purchaser
- advising an investment adviser in its acquisition of a fixed income investment management firm, including the acquisition of two registered investment companies that were previously sub-advised by the fixed income investment management firm

SPEAKING ENGAGEMENTS

- Moderator, “Future Landscape of ETF Research Opportunities,” Nasdaq and the Villanova School of Business Synapse 2018 ETF Academic Summit
- Presenter, “Exchange-Traded Fund Roundtable: Developing & Launching Your ETF,” Foreside Financial Group Webinar
- Moderator, “The Regulatory Landscape: Is 2018 the Year for Approval?” New York Stock Exchange’s ETF Summit
- Speaker, “On the ETF Radar: What’s New and What’s Next,” Legal Forum of 2017 ICI General Membership Meeting
- Panelist, “SEC and Exchange Initiatives: What to Expect and How to Prepare,” New York Stock Exchange ETF Regulatory Summit

