

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) and mutual funds. He is also a frequent speaker on ETF related topics.

Steve's legal representation includes:

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

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, including:
 - Franklin Templeton in launching its entire suite of index-based (including smart beta) and actively managed ETFs
 - Allianz Investment Management, a wholly owned subsidiary of Allianz Life Insurance Company of North America and part of the U.S. arm of German multinational financial services group Allianz SE, in launching its new ETF platform consisting of a suite of buffered outcome ETFs

FOCUS

Registered Investment Companies
Exchange-Traded Funds (ETFs)
Investment Advisers
Investment Management
Cryptocurrency and Blockchain
Fintech

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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- O'Shares Investments in launching its suite of smart beta index-based ETFs. O'Shares Investments was founded by ABC "Shark Tank" investor and CNBC contributor Kevin O'Leary and Connor O'Brien.
- advised asset management firms in launching mutual funds across all asset classes, including converting 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:
 - an ETF investment adviser in its sale to a global investment firm
 - 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
 - an investment adviser in its acquisition of a fixed income investment management firm, including the acquisition of mutual funds that were previously sub-advised by the fixed income investment management firm

SPEAKING ENGAGEMENTS

- Panelist, "The Hunt: Where Is The Next Trillion Dollars," Exchange ETF Conference
- Panelist, "Entering the ETF Space? Learn the Playbook to Success," Investment Company Institute's Investment Management Conference
- Panelist, "Converting Mutual Funds into ETFs," Independent Directors Council's Virtual Fund Directors Workshop
- Panelist, "The Next Gen ETF Landscape: Navigating the ETF Rule," Nasdaq Webinar
- Panelist, "SEC's ETF Rule," Women in ETFs Philadelphia
- Panelist, "Exploring ETF Industry Perceptions," ETF Synapse 2019, co-hosted by Nasdaq and the CFA Society of New York
- Presenter, "How the New ETF Rule Changes the Regulatory Landscape," Stradley Ronon Webinar (2019)
- Moderator, "Future Landscape of ETF Research Opportunities," Synapse 2018 ETF Academic Summit, co-hosted by Nasdaq and the Villanova School of Business
- Presenter, "Exchange-Traded Fund Roundtable: Developing & Launching Your ETF," Foreside Webinar (2018)
- Moderator, "The Regulatory Landscape: Is 2018 the Year for Approval?" New York Stock Exchange's 2018 ETF Summit
- Speaker, "On the ETF Radar: What's New and What's Next," Legal Forum of 2017 ICI General Membership Meeting



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- Panelist, "SEC and Exchange Initiatives: What to Expect and How to Prepare," New York Stock Exchange's 2017 ETF Regulatory Summit
- Panelist, "On the ETF Radar: What's New and What's Next," Stradley Ronon Seminar (2017)

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