

Robert K. Fulton

Partner

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Bob Fulton brings significant experience in counseling mutual funds, banks, insurance companies and broker-dealers on corporate, legal and regulatory matters relating to pooled investment vehicles, including open- and closed-end mutual funds, sub-advised and multi-manager mutual funds and mutual funds supporting investment-oriented insurance products. He serves on an ongoing basis as counsel to independent directors and trustees supervising a number of prominent mutual fund families and has represented mutual fund boards, funds and advisers in complex investigations, litigation and regulatory proceedings. He regularly advises closed-end mutual fund boards and management on governance, shareholder and stock exchange listing matters.

RESULTS

Bob has represented:

- independent directors of a large financial institution's closed-end funds in connection with sale of an asset management company and shareholder activist challenges
- independent directors in connection with SEC inquiries and investigations regarding, among other things, affiliated transfer agent activities, revenue sharing arrangements and portfolio valuation issues
- independent directors of closed-end funds in shareholder activist matters
- independent trustees of a mutual fund complex in discussions regarding a proposed acquisition of the funds' investment adviser
- independent trustees of a prominent mutual fund group in excessive investment advisory fee shareholder litigation brought against the group's investment adviser

SPEAKING ENGAGEMENTS

- Panelist, "Mutual Funds, in Crisis? Responses to Late Trading, Market Timing, and Employee Trading," PLI
- Presenter, "Assessing Profitability and Sharing Economies of Scale – Critical Judgments in Contract Renewal," Mutual Fund Directors Forum Workshop
- Moderator, Mutual Fund Directors Forum Third Annual Directors' Institute

FOCUS

Registered Investment Companies
Independent Trustee Counsel
Securities Enforcement & Investigations
Investment Management Litigation
Investment Management
Closed-end Funds

BAR ADMISSIONS

Pennsylvania

COURTS

Pennsylvania Supreme Court

EDUCATION

J.D., *cum laude*, George Washington University School of Law

B.A., Georgetown University

MEMBERSHIPS

American Bar Association
Past President, Georgetown University Alumni Club for Philadelphia

