

Jamie M. Gershkow

Partner

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Jamie Gershkow focuses her practice on advising investment companies, independent trustees and investment advisers on regulatory and compliance matters and the applicability and interpretation of securities laws. She frequently counsels on the formation, registration, and ongoing compliance of investment companies, including exchange-traded funds (ETFs), money market funds, and multi-manager funds; and prepares and reviews critical documents such as registration statements, proxy solicitation materials, shareholder reports, exemptive applications, compliance policies and procedures, and board reporting. Jamie assists money market fund clients in addressing the many varied matters impacting money market fund management, operations, and compliance. She also advises independent trustees of investment companies in corporate governance and regulatory matters. Jamie is a frequent speaker and author on ETF and money market fund topics.

While in law school, Jamie served as a member of the *Drexel Law Review*. Additionally, Jamie graduated with *pro bono* service honors for her work with the Education Law Center and the Marshall Brennan Constitutional Literacy Project.

RESULTS

- fund and independent trustee counsel representation of fund complexes of various sizes and complexities, including the formation and initial registration of sustainable investing funds
- advised numerous start-up investment advisers and established global investment firms in launching index-based (including smart beta) and actively managed ETFs, including the preparation and filing of exemptive applications, exchange listing documents, and registration statements
- advised various money market funds in connection with money market fund reforms adopted by the SEC in 2014, including developing compliance policies and programs, advising on the reorganization of funds to comply with reforms, preparing and updating registration statements, reviewing Form N-CR filings, responding to SEC examinations and inquiries, conducting training sessions with portfolio management and compliance officers, and advising on general rule 2a-7 compliance

FOCUS

Investment Management
Registered Investment Companies
Exchange-Traded Funds (ETFs)
Money Market Funds
Environmental, Social and Governance
Independent Trustee Counsel

BAR ADMISSIONS

New York
Pennsylvania
New Jersey

COURTS

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

EDUCATION

J.D., *magna cum laude*, Drexel University School of Law
B.A., *magna cum laude*, University of Maryland

MEMBERSHIPS

Schuylkill River Development Corporation, Board of Directors and Executive Committee
New York City Bar Association
Women in ETFs, Co-Head Events and Education (New York)
Women's Investment Management Forum
Stradley Ronon Hiring Committee



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- assisted in the representation of various investment companies within large fund complexes in connection with the launch of new alternative strategy, multi-manager funds, including the drafting and negotiation of subadvisory contracts with unaffiliated investment management firms, reviewing the compliance programs of proposed subadvisers, and the drafting of information statements and other filings in connection with the addition of new subadvisers
- advised an ETF investment adviser in its sale to a global investment firm

SPEAKING ENGAGEMENTS

- Presenter, "Regulatory Update: Latest Bond Fund Issues," Crane Data Bond Fund Symposium 2021
- Moderator, "Celebrating Women's History Month: Achieving an Equal Future in a COVID-19 World," Women in ETFs New York
- Presenter, "Money Fund Regulations: 2a-7 Basics," Crane's Money Fund University 2021
- Presenter, "Are You Ready For The ETF Rule?," ETFLogic Webinar
- Presenter, "Money Fund Regulations: 2a-7 Basics & History" Crane's Money Fund University 2020
- Presenter, "Regulatory Update," Crane's Bond Fund Symposium 2019
- Presenter, "Money Fund Regulations: 2a-7 Basics & History," Crane's Money Fund University 2019
- Moderator, "SEC's Proposed ETF Rule," Women in ETFs hosted by Stradley Ronon
- Speaker, "ETF Momentum: The Accelerated Use of Exchange Traded Funds," Women in Investing Network of Philadelphia
- Presenter, "Money Market Funds: 2014 Fundamental and Other Reforms and 2015 Reforms to Remove References to Ratings," Securities and Exchange Commission
- Presenter, "Money Fund Regulations: 2a-7 Basics & History," Crane's Money Fund University 2018
- Presenter, "YLD Bootcamp: Tactics, Tips and Tricks for Law Students and New Lawyers," Young Lawyers Division of the Philadelphia Bar Association
- Presenter, "The Board as Springboard"

PUBLICATIONS

- "Money Fund Stress-Test Reports, Minus the Stress," *BoardIQ* (August 2017)

RECOGNITION

- *Fund Intelligence*, Rising Star
- *New York Super Lawyers*, Rising Star



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IN THE COMMUNITY

Jamie is Co-Head of Events and Education for the New York chapter of Women in ETFs. Women in ETFs is a nonprofit organization that seeks to bring together people in the ETF industry across the globe to champion goals of actively choosing equality, diversity, and inclusion.

Jamie also serves on the board of the Schuylkill River Development Corporation, a nonprofit organization that works with the City of Philadelphia and stakeholders to build, maintain, and program Schuylkill Banks; and drive improvements in recreation and transportation, community and economic development, public health, and environmental stewardship.

