

Kristin H. Ives

Partner

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Kristin Ives advises clients on all aspects of the Investment Company Act of 1940 and the Investment Advisers Act of 1940. She counsels investment companies and their boards of directors/trustees and investment advisers on securities, transactional and corporate matters relating to pooled investment products, including registered open-end and closed-end investment companies.

RESULTS

- advised investment companies on structuring and ongoing operations of multi-manager funds employing alternative investment strategies
- drafted and implemented complex compliance programs and procedures to bring clients into compliance with the SEC's recent regulatory initiatives
- advised investment companies regarding all aspects of a wide array of derivative instruments under the Investment Company Act of 1940, including managing complex-wide revisions to disclosure and preparation of related compliance policies and procedures
- managed complex-wide proxy solicitation projects, including one involving more than 120 mutual funds and four proxy statements in which an entire complex moved its funds to the Delaware statutory trust format, adopted updated charter documents and modernized all of the funds' investment restrictions
- advised and assisted money market funds in connection with recent regulatory initiatives and market events
- managed multiple reorganizations of open-end funds into both affiliated and unaffiliated open-end funds

SPEAKING ENGAGEMENTS

- Panelist, ALI-CLE, Mutual Funds Today: Current Issues and Developments in Fund Regulation and Compliance
- Panelist, Investment Company Institute Webinar, Mutual Fund Mergers, Reorganizations & Liquidations
- Panelist, Independent Directors Council, Investment Company Directors Conference

FOCUS

Investment Management
Registered Investment Companies
Derivatives & Commodities
Investment Management Mergers & Acquisitions

BAR ADMISSIONS

Pennsylvania
Ohio

EDUCATION

J.D., *cum laude*, The Ohio State University Moritz College of Law
B.A., *cum laude*, Kenyon College

MEMBERSHIPS

Philadelphia Bar Association
Ohio State Bar Association

