

David F. Roeber

Partner

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Dave Roeber primarily focuses his practice on counseling registered investment companies, their independent trustees/directors and investment advisers on a variety of regulatory, compliance and corporate matters.

RESULTS

- ongoing representation of the independent directors/trustees of mutual funds, including multi-managed funds
- assisted in the representation of several leading global investment firms, including matters related specifically to registration statement review and compliance, as well as with respect to board and audit committee matters
- assisted various clients in adapting to expanded derivatives regulation by the SEC and CFTC under Title VII of the Dodd-Frank Act
- assisted with the organization and launch of a frontier markets interval fund - the first closed-end fund for the otherwise open-end fund complex
- assisted in the representation of a mutual fund complex with respect to the reorganization of 17 equity and bond mutual funds with \$3.6 billion in assets into the fund complex
- assisted in the representation of a leading independent global investment management firm in connection with the client's acquisition of more than 120 open-end and close-end funds from a multinational financial services corporation, including certain matters related to the rationalization of the client's product lineup thereafter

PUBLICATIONS

- "Considerations for Mutual Fund Boards Overseeing Sub-Adviser Transitions," *Fund Board Views*
- "Board Oversight of Valuation: Key Takeaways From the New Rule," *Fund Board Views*
- "SEC Alleviates Compliance Challenges of Auditor Independence Loan Rule," *The Investment Lawyer*, co-authored with Matthew DiClemente and Sara Crovitz

RECOGNITIONS

- *New Jersey Law Journal*, New Leaders of the Bar

FOCUS

Registered Investment Companies
Independent Trustee Counsel
Investment Advisers
Derivatives & Commodities
Investment Management

BAR ADMISSIONS

Pennsylvania
New Jersey

COURTS

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

EDUCATION

J.D., *with high honors*, Rutgers University School of Law - Camden
B.A. and B.S., Taylor University

MEMBERSHIPS

Stradley Ronon Diversity Committee



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- *The Legal 500 U.S.*, recommended for mutual/registered/exchange-traded funds
- New Jersey State Bar Association *Pro Bono* Award
- Chancellor's Award for Alumni Civic Engagement from Rutgers University – Camden

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