

# Christopher J. Zimmerman

## Partner

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Christopher J. Zimmerman focuses his practice on assisting investment companies, investment advisers and boards on various federal and state securities law matters. Among other things, he advises investment companies and investment advisers with respect to their organization, registration and regulation. Specifically, Chris' practice includes assisting clients with registration and regulation of new and existing funds, board-related issues, fund restructurings, securities lending issues, soft dollars by investment advisers and the use of derivatives by investment companies.

## RESULTS

Chris has obtained various exemptive orders from the SEC and has represented investment management clients in:

- fund adoption transactions, including the acquisition of advisory businesses
- internal fund reorganization and external adoption of mutual funds by other fund groups
- registration with the SEC
- connection with proxy statements for various proposals, including advisory and/or change-of-control changes, management of managers structure approval, fund structure and/or organization changes

## SPEAKING ENGAGEMENTS

- Panelist, "The New SEC Rule on Funds' Use of Derivatives," Investment Company Institute Webinar
- Panelist, "The SEC's Fund Derivatives Rule: What's in the Comments, and Is the Finish Line Approaching?," Stradley Ronon Webinar
- Presenter, "Operation and Regulation of Investment Vehicles: Mutual Funds, Exchange-Traded Funds & Hedge Funds," Global Asset Management Education Forum
- Presenter, "Operation and Regulation of Investment Vehicles: Open-end Funds, Closed-end Funds, Exchange-traded Funds and Hedge Funds," Global Asset Management
- Presenter, "The CCO's Point of View: Making Sense of Recent Regulations and Enforcement Proceedings," Firm Hosted Seminar

## FOCUS

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

## BAR ADMISSIONS

Maryland  
District of Columbia

## EDUCATION

J.D., American University Washington  
College of Law  
B.A., University of Maryland

## MEMBERSHIPS

American Bar Association  
Maryland State Bar Association  
Board Member, A-SPAN



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## RECOGNITION

- *The Legal 500 U.S.*, recommended for mutual/registered funds

