

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, "So Many Rules, So Little Time," Investment Company Institute's Mutual Fund and Investment Management Conference
- 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

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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- Presenter, “The CCO’s Point of View: Making Sense of Recent Regulations and Enforcement Proceedings,” Firm Hosted Seminar

PUBLICATIONS

- Co-author, “Mutual Funds and Exchange Traded Funds Regulation (Third Edition) – Chapter 35B: Liquid Alternative Funds,” *Practising Law Institute*
- Co-author, “New Derivatives Rule: A Fund Board’s Responsibilities,” *Fund Board Views*

RECOGNITION

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

The logo for Stradley Ronon, featuring the name "STRADLEY" in a serif font above "RONON" in a larger serif font. A stylized "SR" monogram is positioned between the two names.

STRADLEY
RONON