



Amy C. Fitzsimmons

Partner

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Amy Fitzsimmons advises investment company and investment advisory clients on regulatory, compliance and transactional matters under federal and state securities laws.

Amy's practice includes assisting clients with registration and regulation of new and existing funds, board issues, fund restructurings, fund shareholder meetings and proxy materials, and other regulatory and compliance matters.

With respect to investment advisory clients, Amy concentrates on registration, regulation, contract and compliance matters under the Investment Advisers Act of 1940 and state securities laws.

Featured Representative Matters

- Established a variety of funds for clients including alternative funds that: (1) invest in specific complex instruments such as commodities and derivatives; (2) utilize special structures, such as a manager-of-managers or fund-of-funds structures; and (3) employ alternative strategies, such as long-short, diversified/asset allocation and managed volatility strategies.
- Represented clients in internal fund reorganization and external adoptions of mutual funds by other fund groups.
- Represented various investment advisory clients in registrations with the U.S. Securities and Exchange Commission (SEC) and/or transitions between state and federal registration.
- Represented clients in connection with proxy statements for various proposals including advisory and/or change-of-control changes, manager-of-managers structure approval, fundamental investment restriction changes, fund structure and/or organizational changes.

Memberships

- Chair, Advisory Board, Salvation Army Greater Philadelphia
- Member, American Bar Association

Recognitions

- Unsung Heroes, *The Legal Intelligencer* (2026)

Services

- Investment Management
- Registered Investment Funds
- Independent Trustee Counsel
- Investment Advisers

Education

- Temple University Beasley School of Law (J.D.)
- Pennsylvania State University (B.A.)

Admissions

- Pennsylvania

- *The Legal 500 US* (Recommended: Mutual/Registered/Exchange-Traded Funds) (2020)

Featured Speaking Engagements

Panelist, "Leveraging Technology for Effective Oversight Programs," Investment Company Institute Tech Summit

Publications

The Names Rule Pizza Shop: Menu Updates

January 14, 2025

The Names Rule Pizza Shop: No Sushi for You!

October 24, 2023

Stradley Ronon Lawyers Comment on SEC's Proposal on Fund Names

August 19, 2022

Experience

Franklin Templeton Launches Responsibly Sourced Gold ETF

Stradley Ronon advised Franklin Templeton in the launch of the Franklin Responsibly Sourced Gold ETF, a physically backed gold exchange-traded product (ETP) with an ESG focus. The product seeks to only hold gold bullion bars that were refined in accordance with the London Bullion Market Association's (LBMA's) Responsible Sourcing Program, a mandatory governance framework and audit program designed to promote the integrity of the global supply chain for the wholesale gold markets. This includes measures to address environmental and sustainability considerations (for example, management of harmful chemicals or pollutants associated with the gold mining process), avoid materials from conflict-afflicted areas, and combat money laundering, financing of terrorism, and human rights abuses, including child labor. Shares are registered under the Securities Act of 1933 and trade on NYSE Arca.

Franklin Templeton Launches K2 Long Short Credit Fund

Stradley Ronon assisted Franklin Templeton Investments in the launch of the Franklin K2 Long Short Credit Fund. The new mutual fund of hedge fund managers marks Franklin Templeton's second multi-manager, multi-strategy mutual fund focused on alternative investments. The launch involved the drafting and filing of the registration statement; drafting and negotiating of service provider contracts, including subadvisory agreements with six unaffiliated investment management firms; and the reviewing and summarizing of the compliance programs of such firms for the board of trustees.

Franklin Templeton is the fourth-largest registered funds group in the U.S. with \$898 billion of assets under management. Since 1991, Stradley Ronon's investment management group has served as Franklin's registered fund and advisor counsel.

Trusted Advisor to Franklin Templeton and Its \$898 Billion Portfolio

As a global investment management organization with \$898 billion in assets under management, Franklin Templeton's mutual funds face many regulatory and compliance challenges. For more than 25 years, Stradley has advised Franklin as registered fund and advisor counsel. For example, Stradley Ronon's investment management team assisted on the creation of a manager-of-managers alternative strategies fund, which relied on a first-of-its-kind exemptive order that Stradley helped Franklin obtain. Also, we led on the formation of a new Franklin Templeton insurance product fund – a multi-strategy fund, portions of which are managed by various affiliated investment managers. Stradley also helped Franklin launch its first exchange-traded fund. In addition, we have worked with Franklin Templeton to implement the changes required by the Dodd-Frank Act of 2010. These regulatory changes have had a profound impact on asset managers and the regime in which they operate.