



Christopher J. Zimmerman

Partner

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A member of the firm's nationally recognized investment management practice, Christopher Zimmerman counsels investment companies, investment advisers and boards in connection with 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. He is also the partner-in-charge of the firm's Washington, D.C., office.

Specifically, Chris's practice includes assisting clients with the registration and regulation of new and existing funds and board-related advice, including matters such as fund restructurings, securities lending, and the use of derivatives by investment companies.

A regular presenter and author on the ever-changing regulatory landscape for derivatives transactions — notably Rule 18f-4 under the Investment Company Act of 1940 — Chris is fluent in the key responsibilities for boards of mutual funds, exchange-traded funds (ETFs), registered closed-end funds and business development companies (BDCs).

He is also a frequent speaker on the firm's Talking Investment Management podcast, which covers the latest topics affecting the investment management industry.

Chris previously worked at global asset manager Deutsche Asset Management (now DWS Group).

Featured Representative Matters

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.
- Mutual-fund-to-ETF conversions.
- Registration with the SEC.
- Connection with proxy statements for various proposals, including advisory and/or

Services

- Derivatives & Commodities
- Independent Trustee Counsel
- Investment Advisers
- Investment Management
- Registered Investment Funds

Education

- American University
Washington College of Law
(J.D.)
- University of Maryland
(B.A.)

Admissions

- Maryland
- District of Columbia

change-of-control changes, management of managers structure approval, fund structure, and/or organization changes.

Memberships

- Member, American Bar Association
- Member, Maryland State Bar Association

Recognitions

- *The Legal 500 US* (Recommended: Mutual/Registered/Exchange-Traded Funds) (2021)

Featured 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

Publications

What Is Coming Down the Pike?

October 23, 2022

What We Are Hearing in the Boardroom

October 21, 2022

New derivatives rule: A fund board's responsibilities

Fund Board Views

April 6, 2022