



Cory O. Hippler

Partner

chippler@stradley.com

Philadelphia, PA: 215.564.8089

Cory Hippler focuses his practice on counseling registered investment companies, investment advisers and independent directors on a wide range of regulatory, compliance and transactional matters.

Cory advises clients with respect to the organization, registration and ongoing operations and compliance of open-end and closed-end funds; the preparation and review of regulatory filings, board materials and compliance policies and procedures; fiduciary oversight and fund governance issues; questions and issues regarding director independence; participating affiliate arrangements; assignments of advisory contracts and changes in control of investment advisers; shareholder meetings and proxy solicitation materials; and various transactional matters.

Featured Representative Matters

- Assisted in the representation of several leading global investment firms, including matters related specifically to the organization and registration of investment products, registration statement review and compliance, and the drafting of complex strategy and risk disclosure.
- Assisted in the representation of leading independent global investment management firms in connection with their acquisitions of other fund complexes, including internal reorganizations to maximize efficiency and rationalize product lineups.
- Assisted with the reorganization of an open-end fund into a newly created fund on a different platform for purposes of lowering fund expenses and expanding distribution capabilities.
- Prepared materials for shareholder meetings and related proxy solicitations, including multiple complex-wide shareholder meetings involving large fund complexes, and multiple fund reorganizations.
- Assisted mutual funds and their independent directors in addressing and responding to regulatory matters raised by the U.S. Securities and Exchange Commission (SEC) staff during examinations and investigations.
- Advised an investment management firm in connection with the sale of its retail mutual fund business to two separate buyers, including the reorganizations of 18 funds into newly created or existing funds in the acquiring firms' fund complexes.
- Assisted in the representation of the independent trustees of investment company clients with unique multi-manager and master-feeder structures.

Services

- Investment Management
- Registered Investment Funds
- Investment Advisers
- Independent Trustee Counsel
- Investment Management Mergers & Acquisitions

Education

- Rutgers University School of Law – Camden (J.D.)
- University of Richmond (B.S.)

Admissions

- Pennsylvania
- New Jersey
- Pennsylvania Supreme Court
- U.S. District Court for the Eastern District of Pennsylvania

- Assisted in the representation of the independent directors of closed-end funds in connection with the identification and consideration of investment adviser replacement candidates, the negotiation and coordination of disengagement with the existing adviser, and the transfer of responsibilities to the successor adviser.
- Represented funds and independent trustees through various legal matters in connection with the acquisition of the parent company of the funds' investment adviser and the related reorganizations of the funds to the acquiring company's mutual fund platform and subsequent winddown and termination of the funds.

Community Impact

Cory is a member of the board of directors of Children's Scholarship Fund Philadelphia, a privately funded program whose mission is to provide children from under-resourced Philadelphia families with financial access to quality, tuition-based schools.

Memberships

- Member, Pennsylvania Bar Association

Recognitions

- *The Legal 500 US* (Recommended: Mutual/Registered/Exchange-Traded Funds) (2017)

Publications

Take Notice: SEC Adopts New Requirements Under Regulation S-P

May 31, 2024