



David R. Garton

Associate

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As a member of the firm's nationally recognized investment management practice, David Garton regularly provides registered investment companies and financial institutions with guidance on a wide range of legal matters, including regulatory, compliance and transactional issues.

Advising investment management clients in all aspects of legal representation, Dave drafts and reviews registration statements, proxy solicitation materials and other regulatory filings; researches various securities and corporate law issues; and prepares board materials.

Prior to joining Stradley Ronon, Dave was a legal intern at an industry-leading broker-dealer. In this role, his responsibilities included legal research for financial compliance, privacy compliance and litigation teams; presenting legal memoranda; implementing compliance projects; reviewing client disclosure documents; and tracking state insurance law issues.

Services

- Investment Management

Education

- Temple University Beasley School of Law (J.D.)
- Saint Joseph's University (B.A., *magna cum laude*)

Admissions

- Pennsylvania

Publications

Reducing Costs

Employee Benefit Plan Review

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