StradleyRonon

Fabio Battaglia

Partner

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Fabio Battaglia advises investment companies and investment advisers in connection with regulatory, compliance and transactional issues. He also counsels investment advisers and sponsors on the formation of private investment funds, including domestic and offshore hedge funds. Fabio has worked on novel and innovative exchange-traded fund (ETF) products for more than 15 years.

Fabio advises clients on a range of investment management and securities law matters. Clients rely on his sophisticated advice surrounding the formation, registration and ongoing operations of registered investment companies; the preparation of regulatory filings; and the drafting of compliance procedures and corporate policies. His experience also includes dealing with multi-manager and sub-advised mutual funds, ETFs and closed-end funds.

Prior to entering private practice as a lawyer, Fabio worked in the legal advisory department of Merrill Lynch Investment Managers, where he developed a strong foundation in the industry from an in-house perspective.

Fabio is a frequent speaker on a range of topics related to the regulation of the investment management industry.

Featured Representative Matters

- Represented a global asset management company in the creation and launch of a family of ETFs, including obtaining U.S. Securities and Exchange Commission (SEC) exemptive relief, completing SEC registration, and preparing and negotiating organizational documents and agreements.
- Provided advice to a subsidiary of a large insurance company related to the formation and operation of several hedge funds.
- Represented a global asset management firm in connection with the creation of a multi-strategy, alternative investment mutual fund, including the engagement of more than 15 sub-advisers.
- Represented a registered investment adviser in connection with preparation of investment management agreements.
- Advised the independent directors of a mutual fund complex on a variety of matters related to the consolidation and restructuring of the boards.
- Interfaced with the SEC staff on behalf of clients in obtaining interpretive guidance

Services

- Investment Management
- Registered Investment Funds
- Private Investment Funds
- Exchange-Traded Funds (ETFs)
- Independent Trustee Counsel
- Investment Advisers
- Insurance Funds
- Retail Alternative Funds

Education

- Villanova University School of Law (J.D.)
- Villanova University (B.A.)

Admissions

- Pennsylvania
- New Jersey

and no-action relief, as well as several exemptive orders.

- Represented an investment adviser in connection with the acquisition of a large mutual fund complex.
- Counseled several mutual fund, ETF and investment adviser clients in connection with SEC compliance examinations.

Recognitions

The Legal 500 US (Mutual/Registered/Exchange-Traded Funds)

Featured Speaking Engagements

- Speaker, "Operation and Regulation of Investment Vehicles: Mutual Funds, Exchange-Traded Funds & Hedge Funds," Global Asset Management Education Forum (2012-18)
- Panelist, "Nuts & Bolts of Being a Director," Mutual Fund Directors Forum Directors' Institute (2015-18)
- Panelist, "What's on the ETF Horizon?" Investment Company Institute: Mutual Funds and Investment Management Conference
- Panelist, "Active ETFs: The Path to Product," Stradley Ronon
- Speaker, "The Director's Point of View: A Discussion of Current Mutual Fund Issues," Stradley Ronon
- Presenter, "New Dodd-Frank Investment Advisor Rules: How Will They Impact Your Firm?" National Regulatory Services Webinar
- Speaker, "Exchange-Traded Funds: The Current State of Regulation and a Look Forward," Stradley Ronon

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Publications

Board Oversight of Exchange-Traded Funds - Part 1 & 2
December 9, 2024

Experience

Stradley Ronon Represents Cook Wealth in Merger with Cerity Partners
Stradley Ronon represented Cook Wealth, a Raleigh-based wealth management firm, in a merger with Cerity Partners, a financial and wealth advisory firm serving high-net-worth individuals and their families and nonprofit organizations and foundations throughout the United States.

The merger expands Cerity Partners' integrated wealth advisory services, including financial planning, investment management, and tax planning and preparation, into North Carolina.

For more information, visit Cerity Partners' website.

Bryn Mawr Trust Launches SEC-registered Mutual Fund

Stradley Ronon advised Bryn Mawr Trust in connection with the launch of its new BMT Multi-Cap Fund. The mutual fund will allow Bryn Mawr Trust to offer one of its key investment management strategies to the mass market.

Since 1889, the professionals at Bryn Mawr Trust have focused on helping individuals, families, businesses and organizations create, manage, preserve and transfer wealth. Bryn Mawr Trust is a wholly owned subsidiary of the Bryn Mawr Bank Corporation, a one-bank holding company publicly held and traded on NASDAQ (BMTC).

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.