

Robert J. Zutz

Partner

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OVERVIEW

Robert Zutz is a partner who has more than 30 years of experience as a securities lawyer. His practice focuses on the representation of investment companies, their independent directors and trustees, investment advisers, and broker-dealers. Prior to joining the firm in 1983, he was a member of the Securities and Exchange Commission staff for over five years, including service in the Division of Investment Management and as Legal Counsel to a Commissioner. He currently has primary responsibility for the day-to-day representation of numerous mutual funds and/or their Boards of Directors or Trustees, and he assists in the representation of various other funds and their managers. He has been recognized as being among the nation's leading investment management attorneys by several independent sources, including the 20 most recent annual editions (2006-2025) of *Chambers USA: America's Leading Lawyers for Business*.

PROFESSIONAL BACKGROUND

- Legal Counsel to SEC Commissioner, US Securities and Exchange Commission
- Staff Attorney, US Securities and Exchange Commission
- Law Clerk, Honorable Bertram Polow, NJ Superior Court Judge

ACHIEVEMENTS

- Recognized by *Chambers USA* for Registered Funds, USA - Nationwide, 2019-2026
- Recognized by *Chambers Global* for Registered Funds, USA - Nationwide, 2024-2025
- Recognized by *The Legal 500 United States* as a Recommended Lawyer for Mutual/Registered/Exchange-Traded Funds, 2025-2026
- Recognized by *The Best Lawyers in America*® in Washington, DC
  - Mutual Funds Law, 2007-2027
  - Securities Regulation, 2022-2027

SPEAKING ENGAGEMENTS

Robert has made presentations at numerous industry conferences including, among others, the following:

- "SEC Focus on Mutual Fund Fees," Panelist, Fund Directions Sponsored Webinar, New York, 2011
- "Putting the Janus Decision in Perspective," Panelist, New York 1940 Act Committee, New York, 2011
- "Board Meeting Simulation: From Fund Inception to Termination," IDC Panelist, 2008 Investment Company Directors Conference, Chicago, 2008
- "Portfolio Brokerage" and "Current Topics," Moderator, K&L Gates Client Training Sessions, Washington, D.C. 2007
- "Shareholder Communications," ICI Securities Law Developments Conference, Panelist, Washington, D.C., 2005
- "Current Developments in Soft Dollars," NRS Compliance Conference Panelist, Miami, 2005
- "Current Regulatory Developments," First Investors Annual Conference, Featured Speaker, Ft. Lauderdale, Florida, 2005
- "Compliance Programs," Investment Adviser Best Practice Summit, Washington, D.C., 2004
- Glasser Legal Works, "Investment Advisers Act From A-Z", New York City, 2003
- Merrill Lynch Compliance Seminars, "Current Developments in Mutual Funds Distribution", New York City, 2003
- "Investment Adviser Form ADV and Contract Seminar," Primary Speaker, New York City, 2002-2003
- "Money Manager Due Diligence" and "Adviser Marketing Issues," NRS Compliance Conference, Miami Beach, 2002
- Schwab Institutional Speaker Series, Featured Speaker, "Performance Advertising by Investment Advisers", 2001
- "Investment Management Cross Trading Presentation," Panelist, Annual NRS Trading Conference, Washington, D.C., 2001
- "SEC Investment Advisers Inspections," Moderator, Annual Investment Adviser Compliance Summit, Washington, D.C., 2001
- "SEC Compliance, Inspection and Enforcement," Panelist, Annual Mutual Funds and Investment Management Conference, Palm Desert, California, 2001

EDUCATION

- J.D., New York University School of Law, 1977

- B.A., Tufts University, 1974

ADMISSIONS

- Bar of District of Columbia

THOUGHT LEADERSHIP *POWERED BY HUB*

- 2 November 2023, Asset Management and Investment Funds Fall Conferences - Washington, D.C.
- 17 March 2022, ETF Handbook, Third Edition
- 3 February 2020, ETF Handbook, Second Edition
- 2018, ETF Handbook, First Edition

NEWS & EVENTS

- 4 June 2026, K&L Gates Receives Nearly 235 Firm, Individual Rankings in 2026 *Chambers USA* Guide
- 12 February 2026, *Chambers Global* 2026 Guide Ranks K&L Gates Lawyers, Practices
- 5 June 2025, K&L Gates Receives More Than 240 Firm, Individual Rankings in 2025 *Chambers USA* Guide
- 13 February 2025, *Chambers Global* 2025 Guide Ranks K&L Gates Lawyers, Practices
- 6 June 2024, K&L Gates Receives More Than 200 Firm, Individual Rankings in 2024 *Chambers USA* Guide
- 15 February 2024, *Chambers Global* 2024 Guide Ranks K&L Gates Lawyers, Practices
- 1 June 2023, K&L Gates Receives Firm, Individual Rankings in 2023 *Chambers USA* Guide
- 16 February 2023, K&L Gates Recognized in 2023 *Chambers Global* Guide
- 18 August 2022, More Than 350 K&L Gates Lawyers Named Among 2023 Best Lawyers in America, Ones to Watch
- 1 June 2022, K&L Gates Receives Firm, Individual Rankings in 2022 *Chambers USA* Guide
- 17 February 2022, K&L Gates Recognized in 2022 Chambers Global Guide
- 19 August 2021, Nearly 300 K&L Gates Lawyers Named Among 2022 Best Lawyers in America, Ones to Watch
- 21 May 2021, K&L Gates Asset Management and Investment Funds Practice, Lawyers Named Among Leaders in 2021 Chambers USA Guide
- 24 February 2021, K&L Gates Recognized in 2021 Chambers Global Guide
- 23 April 2020, K&L Gates, Lawyers Recognized in 2020 Chambers USA Guide

- 26 April 2019, Chambers USA 2019 Guide Ranks K&L Gates, Lawyers Among Leaders
- 23 June 2016, K&L Gates, Lawyers Recognized as Leaders in Chambers USA 2016 Guide
- 20 May 2015, Chambers USA 2015 Guide Recognizes K&L Gates, Lawyers as Industry Leaders

AREAS OF FOCUS

- Asset Management and Investment Funds
- Broker-Dealers
- Corporate Governance
- Exchange-Traded Products
- Investment Advisers
- Portfolio Management, Trading, and Compliance
- US Registered Investment Companies