



Robert J. Zutz

Partner

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OVERVIEW

Robert Zutz is a partner in the firm's Washington, D.C. office 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. Robert has been recognized as being among the nation's leading investment management attorneys by several independent sources, including the 14 most recent annual editions (2006-2019) of *Chambers USA: America's Leading Lawyers for Business*.

PROFESSIONAL BACKGROUND

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

ACHIEVEMENTS

- *Best Lawyers in America*, Mutual Funds Law (2007-2021) and Securities Regulation (2022)
- Ranked by *Chambers USA 2021* as leader in Registered Funds Law

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 and 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

- 3 February 2020, ETF Handbook, Second Edition (*Books*)
- 19 February 2019, Digital Crisis PR: Removal of Unlawful Content from Digital Platforms (*Podcast*)
- 2018, ETF Handbook, First Edition (*Books*)

NEWS & EVENTS

- 19 August 2021, Nearly 300 K&L Gates Lawyers Named Among 2022 Best Lawyers in America, Ones to Watch (*Rankings & Recognitions*)
- 21 May 2021, K&L Gates Asset Management and Investment Funds Practice, Lawyers Named Among Leaders in 2021 Chambers USA Guide (*Rankings & Recognitions*)
- 24 February 2021, K&L Gates Recognized in 2021 Chambers Global Guide (*Rankings & Recognitions*)
- 23 April 2020, K&L Gates, Lawyers Recognized in 2020 Chambers USA Guide (*Rankings & Recognitions*)
- 26 April 2019, Chambers USA 2019 Guide Ranks K&L Gates, Lawyers Among Leaders (*Press Release*)
- 23 June 2016, K&L Gates, Lawyers Recognized as Leaders in Chambers USA 2016 Guide (*Press Release*)
- 20 May 2015, Chambers USA 2015 Guide Recognizes K&L Gates, Lawyers as Industry Leaders (*Press Release*)

AREAS OF FOCUS

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

REPRESENTATIVE EXPERIENCE

- Changes of control at investment advisers