



## R. Charles Miller

### Partner

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## OVERVIEW

Chuck Miller is a partner in the asset management and investment fund practice group and is resident in the firm's Washington, D.C. office. His practice focuses on the federal securities laws, principally in the area of investment company and investment adviser representation. He has practiced for over 25 years in the asset management industry and regularly handles a wide variety of regulatory, transactional, and counseling matters. He has extensive experience concerning the registration, distribution, and operation of open-end and closed-end funds and the regulation of investment advisers and broker-dealers.

He represents some of the world's largest financial services companies in addressing complex issues involving fiduciary obligations, innovative share classes, revenue sharing, trading restrictions, and affiliation. In addition, he works regularly with investment managers and intermediaries in structuring and offering new investment products. In the course of his work, he frequently interacts with the SEC, FINRA, the MSRB, and other regulatory agencies.

In addition to his general expertise in asset management, he has particular experience in working with investment advisers in establishing and operating separately managed accounts (SMA's), wrap accounts, and other investment advisory programs. He is also known nationally for his work with retirement plans and college savings plans (529 Plans), and regularly represents investment advisers, broker-dealers, and program administrators in setting up and maintaining new retirement plan platforms and 529 Plans.

On the basis of feedback from clients, industry professionals, and peers, he has consistently been recognized in such rankings as *The Best Lawyers in America*, *D.C. SuperLawyers*, and similar publications. He is a member of the American Law Institute.

## PROFESSIONAL BACKGROUND

Chuck attended the University of Pennsylvania Law School, where he was editor-in-chief of the University of Pennsylvania Law Review. Upon graduation, he served as a judicial clerk to Judge Spottswood W. Robinson III of the U.S. Court of Appeals for the D.C. Circuit and as a judicial clerk to Chief Justice William H. Rehnquist of the U.S. Supreme Court. From 1992 to 1995, he was special counsel in the Office of the General Counsel of the Securities and Exchange Commission.

From 2002-2008, Chuck was the administrative partner of the firm's Washington, D.C. office, and from 2008-2014 he served as the firm's global integration partner and co-Practice Area Leader of the firm's investment management group. From 2014-2107, Chuck served as the managing partner of the U.S. offices of the firm. He currently serves on the firm's benefits and investments committee. He was named 2012 "Lawyer of the Year" for the Washington, D.C. area in securities and capital markets law by *The American Lawyer*.

Chuck is a frequent writer and speaker on a variety of securities law topics. He is a co-author of *Mutual Fund Regulation – An A to Z Workshop* and has recently published articles in *The Investment Lawyer* and *The Offshore Fund Bulletin*.

## ACHIEVEMENTS

- Listed in *The Best Lawyers in America*®, 2006-2022

## PROFESSIONAL / CIVIC ACTIVITIES

- Former Vice Chair of the Board and Chair of Trustees Committee for the Lowell School Board of Trustees
- Harvard Alumni Admissions Committee
- Board of Governors, University Club of Washington, DC
- Board of Governors, Kenwood Golf and Country Club
- Federal Bar Association

## SPEAKING ENGAGEMENTS

- Presenter, Mutual Fund Education Alliance: "Distribution & Product Council," Baltimore, MD, May 10-11, 2017

## EDUCATION

- J.D., University of Pennsylvania Law School, 1985 (*cum laude*; *Order of the Coif*)
- B.A., Harvard University, 1980 (*cum laude*)

## ADMISSIONS

- Bar of District of Columbia
- Supreme Court of the United States

## THOUGHT LEADERSHIP POWERED BY HUB

- 24 April 2018, Fiduciary Standard Reform - The SEC Enters the Ring (*Alerts/Updates*)

- 15 April 2018, Fiduciary Rule Reform – SEC Developments (*Alerts/Updates*)
- 8 February 2018, Past, Present and Future of the DOL Fiduciary Rule (*Alerts/Updates*)

## NEWS & EVENTS

- 19 August 2021, Nearly 300 K&L Gates Lawyers Named Among 2022 Best Lawyers in America, Ones to Watch (*Rankings & Recognitions*)
- 17 October 2016, K&L Gates Expands Corporate, Finance Practices with São Paulo Partner Addition (*Press Release*)

## AREAS OF FOCUS

- Asset Management and Investment Funds
- Broker-Dealers
- ERISA
- Global Distribution
- Global Financial Services Regulation
- Institutional Investors
- Investment Advisers
- Investment Funds
- Portfolio Management, Trading, and Compliance
- Real Estate Funds
- U.S. Registered Investment Companies