



Kathy Kresch Ingber

Partner

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OVERVIEW

Kathy Ingber is a partner in the firm's investment management group and is based in the Washington, D.C. office. She has twenty years of experience in representing investment companies, investment company boards of trustees/directors, investment advisers, and broker-dealers on a broad range of transactional, regulatory and compliance matters.

Kathy serves on K&L Gates' professional development committee. She frequently writes and speaks on regulatory developments affecting the investment management industry.

PROFESSIONAL BACKGROUND

Prior to entering private legal practice in 1987, Kathy worked in the Regulations and Legislation Division of the Office of the General Counsel of the Federal Home Loan Bank Board (currently the Office of Thrift Supervision). She practiced law in the areas of banking and bankruptcy at other prominent national law firms before she joined the investment management, hedge funds, and alternative investments practice at K&L Gates.

PROFESSIONAL / CIVIC ACTIVITIES

- American Bar Association, Section of Business Law, Subcommittee on Investment Companies and Investment Advisers
- District of Columbia Bar, Corporation, Finance and Securities Law Section
- Board of Directors of the Jewish Federation of Greater Washington (2016-2020)

SPEAKING ENGAGEMENTS

Kathy frequently speaks on investment company and investment adviser matters.

- "Seasonal Review - Gifts & Entertainment Compliance Policies - 'Wrap' Your G&E Policies with Compliance this Season," Wolters Kluwer Webinar, November 2014

- "New XBRL Requirements for Mutual Funds," K&L Gates Professional Development Seminar, December 2010
- "Gifts and Entertainment – The Fidelity Cases," Nationwide Insurance Company, July 2008
- "Anti-Money Laundering Know How," Washington Metropolitan Area Corporate Counsel Association, February 2002
- "Investment Advisers," Securities Practice and Electronic Technology, Law Journal Seminars - Press, August 1998
- "Overview of the New Regulatory Regime," The Investment Adviser & Broker-Dealer Compliance Forum, November 1997
- "Exemptions Under the New Investment Adviser Rules," Investment Adviser Compliance Forum, July 1997

EDUCATION

- J.D., Boston University School of Law, 1985 (*Case and Note Editor, Probate Law Journal*)
- B.A., Cornell University, 1982

ADMISSIONS

- Bar of District of Columbia
- Bar of New York

THOUGHT LEADERSHIP POWERED BY HUB

- September 2020, Understanding the SEC's Proposed Modernized Fund Shareholder Reports and Disclosures (*Webinar*)
- 19 August 2020, SEC Proposes Major Changes to Prospectus and Shareholder Report Disclosure Scheme (*Alerts/Updates*)
- 29 April 2020, SEC Proposes New Fair Value Rule 2a-5 (*Alerts/Updates*)
- 29 May 2019, SEC Extends Multi-Manager Exemptive Relief to Partially-Owned Subadvisers (*Alerts/Updates*)

OTHER PUBLICATIONS

- "SEC Extends Multi-Manager Exemptive Relief to Partially-Owned Subadvisers," *The Investment Lawyer*, August 2019
- "Whistleblower Procedures: An Incentive for Internal Reporting," *K&L Gates Investment Management Update*, Spring 2011

- “Gifts and Business Entertainment: A Regulatory Overview for Broker-Dealers and Investment Advisers,” *Practical Compliance & Risk Management for the Securities Industry*, May-June 2008
- “A Fund Director’s Guide to Derivatives,” *The Investment Lawyer*, February 2008
- “Variable Annuity Sales Activities - Current Regulatory Initiatives,” *NSCP Currents*, January/February 2008
- “Investment Management Newsletter,” *K&L Gates publication*, Winter 2007
- “Investment Management Update,” *K&L Gates publication*, Summer 2007
- “New Scrutiny for Fund Substitutions,” *NAVA Outlook*, May/June 2001
- “Investment Advisers,” *Securities Practice and Electronic Technology, Law Journal Seminars - Press*, August 1998
- “SEC Refocuses Regulation of Variable Insurance Products and Equity Index Annuities,” *The Investment Lawyer*, January 1998
- “Variable Annuity Sales Activities - Current Regulatory Initiatives,” *NSCP Currents*, January/February 1998
- “Developments Affecting Fund of Funds Structures, Variable Insurance Contract Pricing, and Fund Names,” *Insights: The Corporate & Securities Law Advisor*, May 1997

AREAS OF FOCUS

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