

# Jamie M. Gershkow

## Partner-in-Charge, NY

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Jamie Gershkow focuses her practice on advising investment companies, independent trustees and investment advisers on regulatory and compliance matters and the applicability and interpretation of securities laws. She frequently counsels on the formation, registration, and ongoing compliance of investment companies, including exchange-traded funds (ETFs), money market funds, and multi-manager funds; and prepares and reviews critical documents such as registration statements, proxy solicitation materials, shareholder reports, exemptive applications, compliance policies and procedures, and board reports. Jamie assists money market fund clients in addressing the many varied matters impacting money market fund management, operations, and compliance, including with respect to recently adopted reforms to Rule 2a-7. She also advises independent trustees of investment companies in corporate governance and regulatory matters.

Jamie is a frequent speaker and author on ETF and money market fund topics, and has been quoted by national media outlets, including The Wall Street Journal.

Jamie is a member of the New York Chapter of Women in ETFs (previously, Co-Chair of Events and Education), an organization that seeks to bring together people in the ETF industry to champion goals of equality, diversity, and inclusion; develop and sponsor talent; recognize and honor the achievements of women in the industry; and invest in the ETF community.

While in law school, Jamie served as a member of the *Drexel Law Review*. Additionally, Jamie graduated with *pro bono* service honors for her work with the Education Law Center and the Marshall Brennan Constitutional Literacy Project.

## RESULTS

- fund and independent trustee counsel representation of fund complexes of various sizes and complexities, including matters related specifically to registration statement review and compliance, the drafting of complex strategy and risk disclosure, and the launch of novel investment products including sustainable investing funds
- represented the Securities Industry and Financial Markets Association Asset Management Group (SIFMA AMG) in connection with comment letters submitted to the Securities and Exchange Commission and Financial Stability Board on proposed reforms of money market fund regulation

## FOCUS

Investment Management  
Registered Investment Companies  
Exchange-Traded Funds (ETFs)  
Money Market Funds  
Environmental, Social and Governance  
Independent Trustee Counsel

## BAR ADMISSIONS

New York  
Pennsylvania

## COURTS

U.S. District Court for the Eastern District of Pennsylvania  
Pennsylvania Supreme Court

## EDUCATION

J.D., *magna cum laude*, Drexel University School of Law  
B.A., *magna cum laude*, University of Maryland

## MEMBERSHIPS

Women in ETFs, New York Chapter  
Women's Investment Management Forum  
Stradley Ronon Diversity Committee



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- advised numerous start-up investment advisers and established global investment firms in launching ETFs, including the preparation and filing of exemptive applications, exchange listing documents, and registration statements
- advised various money market funds in connection with money market fund reforms adopted by the SEC in 2014, including developing compliance policies and programs, advising on the reorganization of funds to comply with reforms, preparing and updating registration statements, reviewing Form N-CR filings, responding to SEC examinations and inquiries, conducting training sessions with portfolio management and compliance officers, and advising on general rule 2a-7 compliance
- assisted in the representation of various investment companies within large fund complexes in connection with the launch of new alternative strategy, multi-manager funds, including the drafting and negotiation of subadvisory contracts with unaffiliated investment management firms, reviewing the compliance programs of proposed subadvisers, and the drafting of information statements and other filings in connection with the addition of new subadvisers
- advised an ETF investment adviser in its sale to a global investment firm

## **SPEAKING ENGAGEMENTS**

- Panelist, "Navigating Career Decisions: Stories of Successes, Pitfalls and Everything in Between," Wealth Management EDGE
- Presenter, "Money Fund Regulations: 2a-7 Basics & History," Crane Data Money Fund University
- Presenter, "Preparing for a Regulatory Deluge," Investment Adviser Association Compliance Workshop
- Presenter, "New and Notable Focus Areas in SEC Examinations," Investment Adviser Association Compliance Workshop
- Panelist, "A Swing and a Miss! Swing Pricing Strikes Out in SEC's MMF Reforms," Stradley Ronon CLE
- Panelist, "Regulations: Money Fund Reforms Round III," Crane Data's Money Fund Symposium
- Panelist, "Money Fund Regulations: 2a-7 Basics & History," Crane Money Fund University - Master's in Money Markets
- Panelist, "Investment Management Industry Regulatory Outlook & Insights," Stradley Ronon and Thrivent
- Panelist, "Money Market Funds," Securities Industry and Financial Markets Association (SIFMA) Operations Conference and Exhibition
- Speaker, "The SIFMA Podcast: A Primer on Proposed Reforms to Money Market Fund Rules" Securities Industry and Financial Markets Association
- Presenter, "Money Market Fund Proposed Amendments: What You Need To Know," Stradley Ronon Webcast
- Presenter, "Regulatory Update: Latest Bond Fund Issues," Crane Data Bond Fund Symposium



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- Moderator, "Celebrating Women's History Month: Achieving an Equal Future in a COVID-19 World," Women in ETFs New York
- Presenter, "Money Fund Regulations: 2a-7 Basics," Crane's Money Fund University
- Presenter, "Are You Ready For The ETF Rule?," ETFLogic Webinar
- Presenter, "Money Fund Regulations: 2a-7 Basics & History," Crane's Money Fund University
- Presenter, "Regulatory Update," Crane's Bond Fund Symposium
- Presenter, "Money Fund Regulations: 2a-7 Basics & History," Crane's Money Fund University
- Moderator, "SEC's Proposed ETF Rule," Women in ETFs hosted by Stradley Ronon
- Speaker, "ETF Momentum: The Accelerated Use of Exchange Traded Funds," Women in Investing Network of Philadelphia
- Presenter, "Money Market Funds: 2014 Fundamental and Other Reforms and 2015 Reforms to Remove References to Ratings," Securities and Exchange Commission
- Presenter, "Money Fund Regulations: 2a-7 Basics & History," Crane's Money Fund University
- Presenter, "YLD Bootcamp: Tactics, Tips and Tricks for Law Students and New Lawyers," Young Lawyers Division of the Philadelphia Bar Association
- Presenter, "The Board as Springboard"

## PUBLICATIONS

- "Money Fund Stress-Test Reports, Minus the Stress," *BoardIQ* (August 2017)

## RECOGNITIONS

- *Crain's New York Business*, Notable Leaders in Accounting, Consulting and Law (2024)
- *The Legal 500 U.S.*, recommended for mutual/registered/exchange-traded funds
- *Fund Intelligence*, Rising Star
- *New York Super Lawyers*, Rising Star
- *New York Women's Edition Super Lawyers*, Rising Star

## IN THE COMMUNITY

Jamie is a member of the New York Chapter of Women in ETFs (previously, Co-Chair of Events and Education). Women in ETFs is a nonprofit organization that seeks to bring together people in the ETF industry across the globe to champion goals of actively choosing equality, diversity and inclusion.

