



## Spencer D. Warkentin

### Associate

Washington DC  
+1.202.778.9164

[Spencer.Warkentin@klgates.com](mailto:Spencer.Warkentin@klgates.com)

## OVERVIEW

Spencer Warkentin is an associate at the firm where he is a member of the Asset Management and Investment Funds practice group. Spencer assists registered investment companies and their independent board members with regulatory and compliance matters arising under U.S. federal securities laws. He has experience drafting and reviewing registration statements, shareholder reports, and other legal documentation relating to the formation, registration, and ongoing operation of investment companies. He regularly works with a variety of different fund structures, including mutual funds, closed-end funds, and exchange-traded funds.

## PROFESSIONAL BACKGROUND

Prior to joining the firm Spencer spent two years supporting the Institutional Securities Group of a leading global investment bank and financial services firm, focusing on European-listed derivatives and cross-border regulatory issues. In law school, Spencer served as a legal extern at the U. S. Securities and Exchange Commission in both the Division of Investment Management and Office of International Affairs. Through this role, Spencer reviewed and provided comments on no action letters and inter-regulator surveys. Spencer also prepared summaries of calls with market participants on global regulatory issues and requests for relief. He previously served as a summer associate at K&L Gates in 2021.

## EDUCATION

- J.D., University of Maryland School of Law, 2022
- B.A., University of Maryland, 2017
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### • ADMISSIONS

- Bar of District of Columbia
- Bar of Maryland

- **AREAS OF FOCUS**

- Asset Management and Investment Funds
- Derivatives