



Derek N. Steingarten

Partner

New York

+1.212.536.4024

Boston

+1.617.261.3295

derek.steingarten@klgates.com

OVERVIEW

Derek Steingarten is an investment management group partner based in the firm's New York office who represents a client base of U.S. and non-U.S. asset managers and funds, including hedge funds, ETFs, mutual funds and their boards of directors, investment consultants and others active in the investment fund industry.

PROFESSIONAL BACKGROUND

Derek was a partner in the financial institutions group of a prominent national law firm based in Boston, where he worked for 15 years prior to joining K&L Gates in 2015. As a university and law student, Derek worked for the Government of Canada, within both the Department of Foreign Affairs and the Department of Justice.

ACHIEVEMENTS

Derek has been consistently ranked among leading investment lawyers by prominent independent, client-driven legal directories such as *Chambers USA* and *The Legal 500*. In particular, he has been recognized in each *Chambers USA, Leading Lawyers For Business* cited his “timely, high-quality advice” and his “keen focus on the business considerations that are implicated by his advice.”

SPEAKING ENGAGEMENTS

Derek speaks regularly at industry events focused on investment adviser and fund regulatory and compliance issues, including as a panelist at the following:

- K&L Gates IM Conference: “Regulatory & Industry Initiatives and Trends,” “Cryptocurrencies & ICOs in Investment Management,” and “ETF & Registered Fund Developments” (NYC, October 2018)
- K&L Gates ETF Think Tank: “ETFs are Global: Cross-Border Considerations” (NYC, September 2018 and Boston, October 2018)
- K&L Gates IM Conference: “Big Data and Quantamental Investing/Registered Funds Issues/Cryptocurrency” (NYC, October 2017)

- Alternative Investment Management Association (AIMA): “How Hedge Funds can Maximize Big Data by Minimizing Legal Risk” (NYC, July 2017)
- “Brexit Q&A” (webinar, January 2017)
- K&L Gates “IM Conference – Registered Funds” (Chicago, January 2017)
- Financial Research Associates “Sub-Advised Funds Forum” (NYC, September 2016)
- NRS “Investment Adviser Compliance Symposium” (Chicago, July 2016)
- K&L Gates “New Manager Forum” (NYC, April 2016)
- Compliance Reporter “Compliance Breakfast Briefing” (NYC, November 2015)

EDUCATION

- LL.B., University of Ottawa, 2000 (*magna cum laude*)
- B.A., McGill University, 1997 (*first class honors*)

ADMISSIONS

- Bar of Massachusetts
- Bar of New York

LANGUAGES

- French
- Spanish

THOUGHT LEADERSHIP POWERED BY HUB

- 3 February 2020, ETF Handbook, Second Edition (*Books*)
- 26 September 2019, SEC Issues New Guidance for Investment Advisers on Proxy Voting (*Alerts/Updates*)
- May 2019, Build Your ETF Now: The Nuts & Bolts of Reorganizing into an ETF (*Webinar*)
- 15 August 2018, Saving Trees: SEC Allows Notice & Access Delivery of Shareholder Reports (*Alerts/Updates*)
- 2018, ETF Handbook, First Edition (*Books*)
- 11 June 2018, Click-Here for Your Fund Report: SEC Endorses Web-Delivery and Asks for Comments (*Alerts/Updates*)

- 26 January 2017, Brexit Q&A Conference Call (5) (*Webinar*)
- 27 September 2016, Brexit Q&A Conference Call (4) (*Webinar*)
- 19 July 2016, Brexit: Guidance for Fund Directors - What to Know and What to Ask (*Alerts/Updates*)
- 28 June 2016, Brexit: Six-Point Action Plan for Asset Managers (*Alerts/Updates*)

OTHER PUBLICATIONS

- “Cryptocurrency Exchange Traded Products: If, When, and How,” *The Investment Lawyer*, December 2018

NEWS & EVENTS

- 23 June 2016, K&L Gates, Lawyers Recognized as Leaders in Chambers USA 2016 Guide (*Press Release*)
- 3 March 2016, K&L Gates Expands Investment Management Practice with New York Partner Addition (*Press Release*)
- 7 January 2016, K&L Gates Continues Growth of Investment Management Practice in New York (*Press Release*)

AREAS OF FOCUS

- Asset Management and Investment Funds
- Exchange-Traded Products
- Global Distribution
- Global Financial Services Regulation
- Hedge Funds
- Institutional Investors
- Investment Advisers
- Investment Funds
- Portfolio Management, Trading, and Compliance
- Private Equity Funds
- Securities Enforcement / Financial Regulatory Enforcement
- Securitization and Structured Finance
- U.S. Registered Investment Companies

INDUSTRIES

- Financial Services
- Fintech