



Franklin H. Na

Partner

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OVERVIEW

Frank Na is a partner in the asset management and investment funds practice group and is based in the Washington, D.C. office. His practice focuses on the representation of all types of investment companies, including mutual funds, closed-end funds and exchange-traded funds, their independent directors, and investment advisers. He advises investment companies, independent directors, and investment advisers on a full range of regulatory, compliance, transactional, and operational matters and has extensive experience in launching new mutual funds and exchange-traded funds, including those with alternative strategies. Over the last decade, he has helped clients launch dozens of new mutual funds and exchange-traded funds. He also has worked with clients on numerous exemptive applications, involving both routine and novel exemptive relief, and merger and reorganization transactions. He has acted as fund counsel, independent director counsel, and investment adviser counsel for various fund complexes of all sizes.

SPEAKING ENGAGEMENTS

- Moderator, “Ready, Set, (Sub-)Advise an ETF!” K&L Gates ETF Think Tank, 8 December 2021

EDUCATION

- J.D., University of Michigan Law School, 2004 (*Contributing Editor, Journal of Law Reform*)
- B.A., University of California, Berkeley, 1999

ADMISSIONS

- Bar of District of Columbia

THOUGHT LEADERSHIP POWERED BY HUB

- 18 January 2024, US Asset Management Regulatory Year in Review 2023
- 2 November 2023, Asset Management and Investment Funds Fall Conferences - Washington, D.C.

- 4 October 2023, Practical Implications of the Names Rule Webinar
- 26 September 2023, What's in a Fund Name? SEC Approves Changes to the Fund Names Rule
- 21 September 2023, Amendments to the Names Rule
- 17 November 2022, SEC Proposes Swing Pricing and a Hard Close for All Mutual Funds
- 7 November 2022 , United States: SEC Proposes Changes to Open-End Fund Liquidity Framework
- 17 March 2022, ETF Handbook, Third Edition
- 3 February 2020, ETF Handbook, Second Edition
- 30 September 2019, SEC Adopts Long Awaited ETF Rule to Modernize ETF Regulation
- 2018, ETF Handbook, First Edition
- 30 July 2018, In a Welcome Development, the SEC Proposes an ETF Rule

OTHER PUBLICATIONS

- “Every Fund Has One—The Amended Names Rule and Its Impact,” *The Investment Lawyer*, February 2024

NEWS & EVENTS

- 28 November 2023 and 5 December 2023, 2023 ETF Think Tanks
- 9 and 16 November 2022, 2022 ETF Think Tank

AREAS OF FOCUS

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