



David C. Owen

Of Counsel

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OVERVIEW

David Owen counsels hedge fund, private equity and other fund managers, investment advisers and broker-dealers on a broad variety of fund formation, product structuring, transactional, regulatory, compliance and other securities law matters. He also advises government retirement plans, other institutional investors and significant private fund investors in connection with their investments in hedge funds, private equity, venture capital, infrastructure and private real estate funds. In addition, David provides ongoing advice to funds, their general partners and managers on a broad range of issues, such as disclosure, SEC and CFTC reporting, investment adviser registration, custody, conflicts of interest, valuation, trade allocation, performance advertising (including compliance with GIPS) and agreements with service providers.

David also represents clients in significant transactions, such as mergers and acquisitions. In addition, David has represented institutions in securities enforcement matters involving the SEC and other regulatory authorities and has significant experience conducting internal investigations in matters relating to securities laws and regulations.

PROFESSIONAL BACKGROUND

Prior to joining K&L Gates, David was as a managing director for a global asset management firm with over \$600 billion in assets under management in accounts, registered funds and private funds across a broad range of investment strategies. Having served as chief legal officer and global head of compliance, David has significant experience in providing legal advice and designing and implementing global compliance programs to address the needs of multinational asset management firms that manage accounts and funds focusing on listed and unlisted equity, corporate bonds, bank loans, private equity, infrastructure equity and debt, real estate and real estate-related securities, futures, swaps and other financial instruments.

SPEAKING ENGAGEMENTS

David is a regular speaker at industry conferences and seminars on global legal, regulatory and compliance matters affecting the asset management industry. His recent presentation topics include:

- “The Regulatory Apprentice: What Does the Trump Administration Mean for Financial Regulation?” San Francisco Investment Management Symposium, San Francisco, California

- “Non-U.S. Regulatory Issues Impacting U.S. Managers,” ACA Compliance Group Fall Annual Compliance Conference, San Diego, California
- “Managing a Global Compliance Program,” ACA Compliance Group Webinar, reported in Hedge Fund Law Report
- “Insider Trading, Information Flows, and Research Practices,” National Society of Compliance Professionals' San Francisco Regional Meeting, San Francisco, California
- “Regulatory Focus on Private Funds and Proper Use of Client Assets: Soft Dollars and Hard-Money Payments,” National Society of Compliance Professionals' National Meeting, Washington, D.C.
- “Surviving and Thriving During and After a Regulatory Examination,” National Society of Compliance Professionals' East Coast Meeting, New York, New York
- “Compliance Issues for Various Private Fund Structures and Business Models,” National Society of Compliance Professionals' West Coast Meeting, San Francisco, California

EDUCATION

- J.D., University of California, Davis School of Law, 1996
- B.A., University of California, Berkeley, 1992

ADMISSIONS

- Bar of California
- United States Court of Appeals for the Ninth Circuit
- United States District Court for the Northern District of California
- United States District Court for the Southern District of California

NEWS & EVENTS

- 9 January 2020, K&L Gates Welcomes Former Allianz Global Investors Counsel to Asset Management and Investment Funds Practice (*Press Release, Practice & Regional News*)

AREAS OF FOCUS

- Asset Management and Investment Funds
- Global Distribution
- Global Financial Services Regulation
- Hedge Funds

- Institutional Investors
- Investment Advisers
- Investment Funds
- Portfolio Management, Trading, and Compliance
- Private Equity Funds
- U.S. Registered Investment Companies