

James V. Catano

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James V. Catano has extensive experience counseling mutual fund complexes, investment advisers and insurance companies on a wide range of securities, regulatory, corporate, disclosure, transactional, and other financial services matters. These matters include complex fund reorganization transactions, the preparation of registration and proxy statements, ongoing compliance and regulatory matters, and seeking exemptive, interpretive and no-action relief from the U.S. Securities and Exchange Commission or its staff. Mr. Catano also advises clients on the development, regulation, sale and administration of a variety of investment products, including open-end and closed-end mutual funds, money market funds, exchange-traded funds, and variable and fixed life insurance and annuity products. In addition, he advises boards of directors/trustees of U.S. registered investment companies on fund governance and fiduciary matters.

Mr. Catano is an adjunct professor at the Catholic University of America, Columbus School of Law, where he teaches a course on mutual funds and investment advisers.

Education

- University of Virginia, B.A., 2005
- The Catholic University of America, Graduate School of Arts and Sciences, M.A., 2007
- The Catholic University of America, Columbus School of Law, J.D., 2011