

Panelist Bios: Registered Funds and ETFs

Moderator: Mark Amorosi '94

Mark Amorosi is a partner in K&L Gates' Asset Management and Investment Funds practice group and also serves as Co-Practice Area Leader for the practice group. Mark is based in the firm's Washington, DC office and has been practicing for approximately 25 years in the areas of investment management and securities law. He focuses his practice on representing investment advisers, mutual funds and exchange-traded funds (ETFs) as well as private and alternative investment funds. He has extensive experience with fund formations and securities offerings by retail and alternative fund complexes, global fund regulation, complex regulatory and compliance matters, portfolio management and transactional matters, governance matters, and matters relating to mergers and acquisitions of investment adviser and fund businesses. Prior to joining the firm in 2000, he served on the staff of the U.S. Securities and Exchange Commission for five years working in the SEC's Division of Investment Management.

Student Panelist: Giezi Rios

Giezi Rios is a third-year law student enrolled in the Securities Law Program at the Catholic University of America, Columbus School of Law. Mr. Rios has been a legal intern at the Investment Company Institute since May 2023. He monitors and examines legislative and regulatory developments involving the investment management industry. Before joining the ICI, he interned at Okapi Partners, LLC, where he researched various proxy voting issues, including shareholder proposals, institutional investor voting policies, and ESG disclosures. He was also a legal intern at the United States General Services Administration in their Suspension & Debarment Division. Mr. Rios received his B.A. in Political Science from the University of Houston.

Panelist: Thoreau Bartmann

Thoreau Bartmann is Chief Counsel of the Securities and Exchange Commission's Division of Investment Management. In this role, he oversees the Division's legal guidance regarding investment companies and advisers.

Mr. Bartmann spent more than a decade developing rulemaking policy for the Commission in a variety of capacities. Notably, he was the team lead for the adoption of the adviser marketing rule, the mutual fund liquidity rule, and the fund fair valuation rule, among many others. In 2021, he took on a new position, serving as Assistant Director in the Chief Counsel's office. As Assistant Director he oversaw the Division's work on digital asset and international matters and provided all types of legal guidance to advisers and funds. Prior to joining the SEC, Mr. Bartmann worked as an associate at the law firm Fried, Frank, Harris, Shriver, and Jacobson. Mr. Bartmann received his J.D. from the University of North Carolina Chapel Hill and his B.A. from the University of Alabama, Birmingham. He is a member of the NY and DC bars.

Panelist: Matthew Thornton

Matthew Thornton is Associate General Counsel for the Investment Company Institute, with responsibility for a wide range of legal issues affecting registered investment companies and investment advisers. Mr. Thornton's primary areas of responsibility include liquidity, valuation, corporate governance and proxy voting, advertising/social media, issues related to fixed income, disclosure, and investment advisory matters. Before joining ICI in 2014, he was an associate in Dechert LLP's financial services group from 2005 to 2014. Before practicing law, Mr. Thornton held positions in the financial services industry at SunTrust Banks (now Truist) from 1998 to 2005 and Merrill Lynch from 1997 to 1998. Mr. Thornton is a member of the Washington, D.C. and Maryland bars and a Certified Financial Planner™. He received his BA in economics from the University of Notre Dame and his JD from Georgetown University Law Center.

Panelist: Amy Pershkov '99

Amy Ward Pershkov is a Shareholder at Vedder Price and a member of the firm's Investment Services team in the Washington, DC office. Ms. Pershkov advises investment companies and their independent directors, investment advisers and other financial services companies on SEC regulatory matters. She provides legal counsel on an extensive variety of legal, business and operational issues, including issues related to:

- Open-end and closed-end funds
- Multi-class funds
- Funds-of-funds
- Funds utilizing a manager-of-managers structure
- Registered and private fund advisers
- Real estate and private equity managers

Ms. Pershkov's experience includes counseling clients on a wide variety of investment management matters, including the formation, registration, reorganization, merger, acquisition and liquidation of investment companies and investment advisers. She assists clients with respect to SEC examinations and inquiries, targeted compliance and business practice reviews, internal investigations and due diligence reviews.

Ms. Pershkov has been ranked by Chambers USA in the Nationwide Investment Funds: Registered Funds category and Chambers Global since 2022.