



Partner

Boston | One International Place, 40th Floor, 100 Oliver Street, Boston, MA, United States of America 02110-2605

T +1 617 728 7167 | F +1 617 426 6567

christopher.harvey@dechert.com

Services

Financial Services and Investment Management > Regulatory Compliance >
Investment Advisers > Investment Funds: U.S. > Private Funds >
Mutual Funds > Financial Services M&A >
Investment Funds and Investment Companies >

Christopher P. Harvey, global co-chair of Dechert's financial services group and a member of the firm's Policy Committee, has over 30 years of securities and financial services legal experience. He represents open and closed-end investment companies, other U.S. and international pooled investment vehicles, and investment advisers in a variety of transactional and regulatory matters, including reorganization transactions, registration and proxy statements, and requests for SEC exemptive and no-action relief.

Mr. Harvey also has significant experience in matters relating to trade allocation policies, soft dollar practices, cross-trading, personal and proprietary firm trading issues, Form ADV disclosure, wrap program issues, proxy voting policies and issues, custody of client funds, closed-end fund activist matters, affiliated brokerage and underwriting, and advisory agreement negotiation points such as indemnification and most favored client provisions.

Mr. Harvey advises mutual funds and their boards on the legal issues relating to advisory and Rule 12b-1 fees and distribution arrangements. He also advises on fund governance, conflicts and general fiduciary duty issues, and director and officer liability insurance issues.

In addition, Mr. Harvey advises public and private operating companies on “inadvertent investment company” status concerns, including structuring joint ventures and “incubators.” His work includes cross border offerings of investment products and services and related international regulatory matters. He also has experience in other corporate and securities matters, including private offerings and investment adviser mergers and acquisitions.

Mr. Harvey has been recognized for eight consecutive years for his work in registered funds by *Chambers USA*, a referral guide to leading lawyers in the United States based on the opinions of their peers and clients. In the most recent edition, clients note that they "have been very impressed with his command of numerous issues" and appreciate his "excellent advice." Another client attests, "I would rely on him for anything and everything. He is incredibly knowledgeable and experienced." Past editions have commented on his “well-rounded set of skills,” “great expertise,” “ability to provide practical discussion and advice in addition to the legal doctrine,” and “high level of client service across his transactional and regulatory practice.” He is also listed in *The Legal 500* (US) for mutual funds law and *The Best Lawyers in America* 2017 which named him the Mutual Funds Lawyer of the Year in Boston.

EDUCATION

- Boston College, B.A., 1983, *summa cum laude*, Phi Beta Kappa
- Boston College Law School, J.D., 1986, *magna cum laude*, Topics Editor, *Boston College Law Review*

ADMISSIONS

- Massachusetts

MEMBERSHIPS

- Massachusetts Bar Association
- Boston Bar Association

SPEAKING ENGAGEMENTS

- **SEC-registered investment advisers: Regulatory Update, Red Flags, Custody, Best Execution and Due Diligence of Third Parties** — Investment Adviser Association Fall Compliance Workshop, Boston (October 22, 2013)
- **Offering Alternative Strategies and Alternative Asset Classes to Retail Investors** — Dechert LLP, Palm Desert, CA (March 19, 2013)
- **How to Start a 40 Act Mutual Fund** — Infovest21, Boston, MA (February 6, 2013)
- **Regulatory Reform & Regulatory Update - New Form ADV, Part 2 - Privacy** — IAA Compliance Workshop, Boston, MA (November 18, 2010)
- **Pay-to-Play: Advisers Act Rule 206(4)-5** — Dechert LLP, Webinar (November 9, 2010)