



Associate

Washington, D.C. | 1900 K Street, NW, Washington, DC, United States of America 20006-1110

T +1 202 261 3357 | F +1 202 261 3333

christine.schleppegrell@dechert.com

Services

Financial Services and Investment Management > Investment Advisers >
Investment Funds and Investment Companies > Regulatory Compliance >

Christine Ayako Schleppegrell focuses her practice on investment management, with an emphasis on mutual fund governance and investment adviser counseling. Ms. Schleppegrell has experience serving as fund, adviser and independent trustee counsel for small, mid-sized and large registered fund complexes. She specializes in advising registered fund complexes on distribution and product development. As part of her investment adviser practice, Ms. Schleppegrell counsels clients on compliance and disclosure obligations, including Form ADV reporting and custody issues.

EXPERIENCE

- Advised on a tax-free reorganization of several open-end registered investment companies into existing and shell funds.
- Counseled clients on mutual fund product developments in connection with new share classes (clean shares, T shares), intermediary payment streams, and related regulatory initiatives.
- Advised broker-dealers and investment advisers on various fiduciary obligations, including those arising under the Advisers Act, the DOL Fiduciary Rule, and state standards.

- Served as liaison between regulators and trade associations to address Advisers Act Custody Rule guidance.
- Obtained interfund lending exemptive relief for several mutual fund complexes and advised on operational issues in connection with program implementation.

EDUCATION

- Vassar College, B.A., Political Science, 2008
- Oxford University, St. Catherine's College, 2007
- University of Washington School of Law, J.D., 2011

ADMISSIONS

- District of Columbia
- California

CLERKSHIPS

- United States Bankruptcy Court, Eastern District of California, Honorable Christopher M. Klein

MEMBERSHIPS

- American Bar Association, Business Law Section, Federal Regulation of Securities Committee
- Asian Pacific American Bar Association of D.C., Treasurer
- National Asian Pacific American Bar Association
- Investment Adviser Association
- Women in Investment Management of D.C.
- Women's Investment Management Forum
- Washington D.C. Compliance Round Table, Founding Board Member
- D.C. Bar Association, Investment Management and Broker-Dealer Regulation Sub-Committee, Co-Chair
- 100 Women in Finance

SPEAKING ENGAGEMENTS

- **Form ADV Part 2: Identifying and Disclosing Conflicts** — Presented by NRS, Webinar (September 12, 2019)
- **Form ADV Part 1: Annual Updating Amendment and More** — Presented by NRS, Webinar (September 10, 2019)
- **U.S. Regulatory Priorities Seminar Series – Updates to Form ADV** — Dechert LLP, London, UK (March 5, 2019)
- **Form ADV, Part 1A: Common Questions and Recent Reporting Statistics** — Presented by the Washington DC Compliance Round Table, Webinar (February 26, 2019)
- **Chief Compliance Officer Liability Webinar** — Presented by the Washington DC Compliance Round Table, Webinar (December 6, 2018)
- **Regulation Best Interest, IA Fiduciary Interpretation, and Form CRS** — Presented by the Washington DC Compliance Round Table (September 13, 2018)
- **Form ADV Part 2: Identifying and Disclosing Conflicts** — Presented by the Investment Advisers Association (September 11, 2018)
- **Form ADV Part 1: Annual Updating Amendment and More** — Presented by the Investment Advisers Association (September 6, 2018)
- **Mutual Fund Distribution: Products and Platforms in an Uncertain Regulatory Environment** — Presented by the Mutual Fund Directors Forum, Webinar (April 10, 2018)
- **Washington DC Compliance Round Table** — Presented by Scitus Consulting, LLC, Webinar (March 23, 2018)
- **22D Pricing Programs** - Phoenix, AZ (February 13, 2018)
- **The Shifting Landscape of DOL Fiduciary Rule Implementation** — Presented by the Mutual Fund Directors Forum, Webinar (October 12, 2017)
- **Form ADV Part 2: Identifying and Disclosing Conflicts** — Hosted by the Investment Advisers Association, Webinar (September 12, 2017)
- **Form ADV and Recordkeeping Rule Amendments** — Washington DC Compliance Round Table, Webinar (September 11, 2017)
- **Form ADV Part 1: Annual Updating Amendment and More** — Hosted by the Investment Advisers Association, Webinar (September 7, 2017)
- **International Best Practices in Mentoring to Increase Competency, Professionalism, and Ethics in the Legal Profession** — ABA Section of International Law Spring Meeting in D.C., Washington, D.C. (April 25, 2017)
- **Third Party Vendor Management for Compliance Professionals** — Presented by the Investment Adviser Certified Compliance Professional (IACCP), Webinar (August 11, 2016)
- **Federal Court Clerkships** — Robert E. Wone Annual Judicial Clerkship & Internship Conference, Washington, D.C. (October 22, 2016)
- **SEC Proposes Changes to Form ADV** — NSCP Washington, D.C. Roundtable (June 1, 2015)
- **How to Build Your Book of Business** — Turnaround Management Association NextGen (October 1, 2014)