

# Daniel J. Fallon

## PARTNER

Chicago

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Dan Fallon is a partner in Chapman's Corporate and Securities Department and a member of the Investment Management Group. He focuses his practice on representing investment companies including open-end funds, closed-end funds, exchange-traded funds, unit investment trusts and private investment companies. His experience also includes matters involving the representation of broker-dealers, investment advisers and general corporate compliance matters.

Dan participated in the firm's summer associate program in 2008, and joined the firm in 2009. Prior to joining Chapman and Cutler, he served as an extern to Judge Jesse Reyes, Circuit Court of Cook County.

## Representative Matters

- Representation of unit investment trusts and their sponsors in matters regarding their organization, federal and state registration, primary and secondary market offerings, advertising and continuing compliance obligations.
- Representation of investment companies, particularly ETFs and open-end funds, in matters regarding their organization, federal and state registration, preparation of offering materials, regulatory analysis and compliance obligations.
- Representation of investment advisers with regard to their organization, federal and state registration requirements, advertising restrictions, contract provisions, periodic filings, continuing compliance obligations and their preparation of compliance manuals and supervisory procedures.

## Admitted

Illinois, 2009

## Education

University of Notre Dame Law School, J.D., *cum laude*, 2009

- Senior Articles Editor, *Notre Dame Journal of Legislation*

University of Wisconsin - Madison, B.A., History, 2005

## Practice Focus

Broker-Dealers

Corporate Finance and Securities

Investment Advisers

Investment Management

Registered Investment Companies