

Abigail Bertumen

Counsel

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Abby counsels registered investment companies and investment advisers in connection with their organization, registration and operation, including advice on regulatory and compliance matters. Abby also advises U.S. and international clients on compliance with the Investment Company Act and the Investment Advisers Act. She regularly works with exchange-traded funds (ETFs), open-end funds, closed-end funds and investment advisers of varying sizes and assets under management. Abby also counsels clients on the preparation and filing of registration statements, proxy statements, and exemptive applications with the U.S. Securities and Exchange Commission.

In recognition of her work, Abby was named a “Rising Star” at the Mutual Fund Industry Awards by Fund Action/Fund Intelligence and a recommended lawyer by *The Legal 500 US 2022* guide in investment fund formation and management: mutual/registered/exchange-traded funds. Before joining Sullivan, Abby served as of counsel at Morgan Lewis & Bockius. Previously, she was the general counsel of a multi-billion dollar private-label ETF investment adviser of a variety of index and actively managed ETFs, including domestic and international equity, emerging and frontier markets, fixed income, fund of funds, thematic and sector-specific products. As general counsel, Abby oversaw all legal and regulatory aspects of the offering and operation of the ETFs and the adviser’s overall investment advisory business, which included provision of sub-advisory services and portfolio management to ‘33 Act exchange-traded products. She regularly drafted and negotiated commercial agreements and vendor and service provider agreements on behalf of the investment adviser. Additionally, she provided counsel on various corporate and transactional matters related to the company and its business lines. Prior to her role as general counsel, Abby was an associate in the investment funds group at Linklaters.

Capabilities

- Investment Advisers, Commodity Trading Advisors & Institutional Investors
- Investment Management
- Registered Funds & Independent Trustees
- Broker-Dealer Regulation
- Exchange-Traded Funds

Education

- University of Baltimore School of Law (J.D., *magna cum laude*)
- Ithaca College (B.A., *magna cum laude*)

Bar & Court Admissions

- District of Columbia

- Maryland
- New York

Professional Qualifications

- New York State Bar Association

Awards & Honors

- Recommended, Investment fund formation and management: Mutual/registered/exchange-traded funds, *The Legal 500 US* (2022)
- Rising Star for the Mutual Fund and ETF Industry, *Fund Intelligence* (2020)