

Sarah Mercedes Dee

Counsel

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Sarah's practice focuses on representing registered investment companies and their independent directors on a broad scope of legal, regulatory, compliance and fund governance matters. She has deep and varied expertise in board governance issues. She provides guidance on all aspects of the Investment Company Act and Investment Advisers Act and other securities laws and current topics relevant to funds, independent directors, and investment advisers, including with respect to Section 15(c) contract approvals and renewals, oversight of multi-manager and sub-advisory relationships, oversight of affiliated relationships and transactions, disclosure issues, fund governance, cybersecurity, and the launch and reorganizations of funds and fund complexes including ETFs.

Before joining Sullivan, Sarah served as an assistant vice president and senior counsel at a large investment management firm in Boston where she advised a large fund complex and handled a wide range of board governance matters and complex operational, compliance and other issues.

Education

- Northeastern University School of Law (J.D.)
- Providence College (B.A., *cum laude*)

Bar & Court Admissions

- Massachusetts

Capabilities

- Corporate Governance & Board Advisory
- Environmental, Social and Governance (ESG)
- Exchange-Traded Funds
- Investment Management
- Registered Funds & Independent Trustees