



Chip Lunde

SHAREHOLDER

WASHINGTON, D.C.

P : 202.965.8139

F : 202.965.8104

CONNECT

clunde@carltonfields.com

Overview

Chip Lunde counsels investment companies, investment company boards, investment advisers, broker-dealers, and life insurance companies on federal and state securities and insurance compliance and regulatory matters.

Chip focuses his practice on the development and regulation of variable insurance products and underlying mutual funds. His experience includes advising issuers with respect to the creation of novel variable insurance products. He also advises financial services clients regarding the development and regulation of other pooled investment vehicles, including hedge funds and stable value funds.

Chip's experience includes drafting and negotiating contracts between financial product issuers and their service providers, and the preparation of registration statements, proxy statements, no-action letters, and SEC exemptive applications.

Chip also advises on issues pertaining to the sales practices, market conduct, and other compliance issues affecting issuers and distributors of financial products. His experience includes advising mutual funds with respect to credit agreements and derivatives trading, including tri-party account control agreements. In addition, he advises regulated entities in connection with regulatory examinations and investigations.

All Insights

04.04.2019 Game Changing Fund of Fund Reforms Ahead

12.18.2018 SEC Proposes Summary Prospectus Option and Modernized Disclosure for Variable Insurance Products

10.31.2018 SEC Proposes Summary Prospectus Option and Modernized Disclosure for Variable Insurance Products

10.01.2018 SEC Proposes New Rule Impacting ETFs

03.31.2018	Implementation Delay and Q&As for Fund Liquidity Rule
04.10.2017	SEC Staff Allows Brokers to Set Commissions for Mutual Fund “Clean Shares”
12.22.2016	SEC Adopts Liquidity Risk Programs for Funds
04.25.2016	SEC Proposes New Limits on Funds’ Use of Derivatives
12.23.2015	SEC Proposes Liquidity Risk Programs for Funds
12.22.2014	Money Market Fund Reform Complicates Insurance Product Fund Offerings
11.01.2014	Smart Variable Annuities: The New Approach to Offering Dynamic Benefits and Managing Risk under Variable Annuity Products
11.01.2012	Variable Insurance Products in an Era of De-Risking
09.01.2010	SEC Proposes New Framework to Replace Rule 12b-1
12.01.2008	GMWB Complexity
09.01.2008	Proposed Rule 151A Proposes Sweeping Changes
06.01.2008	Rule 2821: New Suitability Facelift Results in More Wrinkles
03.01.2008	Rule 2821 Principal Review Extension
12.01.2007	SEC Adopts XBRL for Mutual Fund Risk/Return Summaries
06.01.2005	Asset Allocation Programs for Variable Annuity Products

Speaking Engagements

- “The Evolving Variable Annuity Market,” IRI ACTION18 Conference, Washington (May 9, 2018).
- "SEC Registered Insurance Products: Recent Disclosure, Regulatory and Accounting Issues," ALI CLE Conference on Life Insurance Company Products, Washington (November 2, 2017).
- “Federal Regulatory Update,” Client Focus Forum, Baltimore (October 2016).
- “Federal Regulatory Update,” Client Focus Forum, Minneapolis (February 2016).
- “Federal Regulatory Update,” Client Focus Forum, Newport Beach, CA (October 2016).

2015).

- “Cutting-Edge Insurance Product Designs and Regulatory Developments,” ALI CLE Conference on Life Insurance Company Products, Washington (November 2014).
- "The Evolving Variable Annuity Market," IRI Government, Legal & Regulatory Conference, Washington (July 2014).
- “Variable Insurance Products in an Era of De-Risking,” ALI CLE Conference on Life Insurance Company Products, Washington (November 2012).
- “Chutes & Ladders: The Continuing Quest For Suitability Guidance,” NAVA Compliance and Regulatory Affairs Conference (June 2008).

Credentials

EDUCATION

- University of Texas School of Law (J.D., 1998)
- University of North Carolina at Chapel Hill (B.A., with honors, 1993)

BAR ADMISSIONS

- District of Columbia

Areas of Focus

PRACTICES

- Business Transactions
- Financial Services Regulatory
- Life, Annuity, and Retirement Solutions
- Securities Transactions and Compliance

INDUSTRIES

- Insurance
- Securities & Investment Companies