



Joshua D. Borneman

Associate

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Joshua Borneman advises investment companies — including mutual funds, private funds, closed-end funds and exchange-traded funds (ETFs) — and investment advisers on regulatory, compliance and transactional issues. He is a frequent author on the latest rulemaking activity from the U.S. Securities and Exchange Commission (SEC) and other regulatory agencies.

Josh provides counsel to investment management clients in all aspects of legal representation, including drafting and reviewing registration statements, proxy solicitation materials and other regulatory filings; researching various securities and corporate law issues; and preparing board materials. Josh is well-versed in advising clients on complex issues and rules, including with respect to fair valuation and liquidity of fund securities. He is also knowledgeable regarding the anti-money laundering requirements applicable to mutual funds and broker-dealers.

While in law school, Josh was a lead articles editor for the *Catholic University Journal of Law and Technology* and interned with the SEC's Division of Investment Management.

Featured Representative Matters

- Counseled multiple investment company clients in mutual-fund-to-ETF conversions

Community Impact

Josh is an active member of the firm's Washington, D.C., charity committee, helping to serve local underprivileged communities. He has also provided pro bono representation to charitable organizations.

Services

- Investment Management

Education

- The Catholic University of America Columbus School of Law (J.D., *cum laude*)
- University of Maryland (B.A.)

Admissions

- District of Columbia

Publications

FinCEN Finalizes AML/CFT Rule: 6 Takeaways for Investment Advisers Facing New Regulatory Scrutiny

September 6, 2024

Your ID, Please: An Investment Adviser's Guide to the Proposed Customer Identification Program

May 23, 2024

Report of the Mutual Fund Directors Forum: Practical Guidance for Fund Directors on Valuation Oversight

October 3, 2023

SEC Proposed Amendments to Form N-PX

October 6, 2021