



JOSHUA C. HESS

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BIOGRAPHY

Josh Hess is a seasoned legal professional with 15 years of experience in securities enforcement, regulatory investigations, and complex commercial litigation.

Josh has a wealth of experience from his six-year career as an enforcement attorney at the Securities and Exchange Commission (SEC) and the Financial Industry Regulatory Authority (FINRA).

At the SEC, Josh led investigations and brought enforcement actions, involving issues such as potential cryptocurrency-related misconduct, Section 5 issues, corporate disclosure matters, insider trading, investment-adviser breaches of fiduciary duty, supervision issues, Ponzi schemes, and other types of fraud. In addition, working in the Enforcement Division's Office of Chief Counsel, Josh briefed and advised the SEC's Enforcement Director, Deputy Director, Chief Counsel, and other

Enforcement staff nationwide on numerous Enforcement actions, giving him a programmatic view of the SEC's enforcement portfolio.

Prior to his tenure at the SEC, Josh served in FINRA's Main Enforcement division, where he handled cases related to, for example, supervision, investment suitability, mutual-fund switching, and exercising discretion without written authorization.

At the SEC and FINRA, Josh worked with U.S. Attorney's offices, the FBI, and state authorities. Before joining FINRA, Josh was an associate at two global law firms, where he represented clients in SEC Enforcement, securities and shareholder litigation, Foreign Corrupt Practices Act, and other complex commercial litigation matters.

ADMISSIONS

- Georgia, 2014
- District of Columbia, 2010

EDUCATION

- University of Virginia, J.D., Order of the Coif, 2009
- University of Virginia, B.A., highest distinction, 2006

RELATED PRACTICE AREAS

- Business & Commercial Disputes
- Intellectual Property and Technology Disputes
- Litigation & Dispute Resolution
- White Collar
- Broker-Dealer and Investment Advisor Regulatory Enforcement, Disputes and Investigations
- Investigations
- Financial Institutions
- Regulation, Compliance & Advisory
- Class Actions & Mass Torts

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