

## **James V. Catano**

James V. Catano has extensive experience counseling mutual fund complexes, investment advisers and insurance companies on a wide range of securities, regulatory, corporate, disclosure, transactional, and other financial services matters. These matters include complex fund reorganization transactions, the preparation of registration and proxy statements, ongoing compliance and regulatory matters, and seeking exemptive, interpretive and no-action relief from the U.S. Securities and Exchange Commission or its staff. These matters also include the launch and operation of new fund products, including funds of funds and funds that incorporate environmental, social and governance (ESG) factors into their investment processes.

Mr. Catano advises clients on the development, regulation, sale and administration of a variety of investment products, including open-end and closed-end mutual funds, money market funds, exchange-traded funds, and variable and fixed life insurance and annuity products. In addition, he advises boards of directors/trustees of U.S. registered investment companies on fund governance and fiduciary matters.

Mr. Catano is an adjunct professor at the Catholic University of America, Columbus School of Law, where he teaches a course on mutual funds and investment advisers.

### **Education**

- University of Virginia, B.A., 2005
- The Catholic University of America, Graduate School of Arts and Sciences, M.A., 2007
- The Catholic University of America, Columbus School of Law, J.D., 2011

### **Admission**

- District of Columbia and New York

## **Anthony S. Kelly**

Anthony S. Kelly, a former Senior Officer in the SEC's Division of Enforcement, focuses his practice on securities enforcement, compliance, and regulatory matters, with an emphasis on matters concerning the asset management industry.

Prior to joining Dechert, Mr. Kelly served as Co-Chief of the SEC Enforcement Division's Asset Management Unit. In this role, he led a nationwide unit of attorneys, industry experts, and other professionals responsible for conducting investigations across the asset management industry that focused on investment advisers and service providers to mutual funds, ETFs, BDCs, private equity funds, hedge funds, and other investment vehicles. Mr. Kelly also worked closely with the SEC's Division of Examinations and Division of Investment Management.

During his 18-year tenure at the SEC, Mr. Kelly supervised and conducted enforcement investigations covering a wide range of issues, including fund valuation, distribution and 12b-1 fees, conflicts of interest, fund governance, the 15(c) process, best execution, insider trading, manipulation, investment adviser and broker-dealer registration, and whistleblower retaliation. He

also worked with multiple U.S. Attorneys' Offices conducting parallel criminal and SEC investigations. In recognition of his SEC service, Mr. Kelly was awarded the Chairman's Award for Excellence and the Ellen B. Ross Award, which acknowledge his exemplary commitment and performance in enforcing the federal securities laws.

Mr. Kelly now represents entities and individuals in SEC and FINRA investigations and routinely advises asset managers on how to prepare for, navigate, and respond to exams conducted by the SEC's Division of Examinations. As part of his practice, he also conducts internal investigations and counsels clients on compliance and regulatory matters.

### **Education**

- The George Washington University, B.B.A., Finance, 1999, *summa cum laude*
- Georgetown University Law Center, J.D., 2004

### **Admission**

- District of Columbia and Maryland

### **Kenneth Fang**

Kenneth Fang is associate general counsel at ICI. He has also worked at ProShare Advisors LLC, Goodwin Procter LLP, Morrison & Foerster LLP, and the SEC's Division of Investment Management, where he received the SEC Capital Markets Award. Ken received his undergraduate degree from the University of Michigan, his JD from the University of Maryland School of Law, and his LLM (with distinction) from Georgetown University Law Center.

**Admission:** DC and Maryland and the Supreme Court

### **Jack Delaney**

Jack Delaney is the Chief Compliance Officer and In-House Legal Counsel at Mason Investment Advisory Services, a 12+ billion wealth management firm based in Reston, VA. Mr. Delaney has over a decade of experience counseling investment advisers, investment funds and broker-dealers. Mr. Delaney joined Mason in August 2023 and is responsible for the firm's legal and compliance functions. Prior to that, Mr. Delaney was Chief Compliance Officer and Senior Legal Counsel at Vest Financial in McLean, VA. Mr. Delaney also held in-house positions at NRECA, The Rock Creek Group, and has served as an attorney in private practice.

Mr. Delaney began his career in FINRA's Office of Fraud Detection and Market Intelligence as a regulatory analyst. He earned his law degree from The Catholic University of America Columbus School of Law and is a graduate of the University of Virginia's McIntire School of Commerce, where he received a Bachelor of Science in commerce with a concentration in finance. He is a member of the Virginia State Bar.

**Admission:** Virginia

**Neil Lombardo**

Neil Lombardo is a senior special counsel with the Division of Investment Management's Liaison Office, and is a Chartered Alternative Investment Analyst, as well. As a member of the Liaison Office, Mr. Lombardo provides guidance to the Divisions of Enforcement and Examinations on matters that involve investment advisers or investment companies. Prior to joining the Division of Investment Management, Mr. Lombardo served as counsel to SEC Commissioner Luis A. Aguilar. In that role, Mr. Lombardo was responsible for matters within the purview of the Division of Investment Management and the Division of Trading and Markets. Prior to joining the SEC, Mr. Lombardo was a senior associate with Skadden Arps, in their government enforcement group. Prior to joining Skadden, Mr. Lombardo clerked for former federal district court judge James J. Brady, of the Middle District of Louisiana.

**Admission:** DC

**Hannah Munro**

Hannah Munro is a third-year law student at the Catholic University of America, Columbus School of Law, and a member of the Securities Law Program. She earned her B.A. in Political Science from Boston College, where she was also part of the Division One dance team.

While at Catholic Law, Hannah has completed two legal internships with the Securities and Exchange Commission (SEC)—one in the Division of Enforcement and another in the Division of Examinations. She is also a member of the Catholic Law Review and competed in the Kaufman Securities Law Moot Court competition last year. Most recently, she served as a Summer Associate at Shulman Rogers, focusing on venture capital, emerging companies, and securities law. In her spare time, Hannah enjoys following Boston sports, exploring new coffee shops, and cooking.