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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 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.

Josh also clerked for the Hon. Raymond Kethledge on the U.S. Sixth Circuit Court of Appeals and the Hon. Amul Thapar on the U.S. District Court for the Eastern District of Kentucky.

EMERGING THEMES 2025

Creating Connections

2025 marks the 15th edition of Emerging Themes in Financial Regulation & Disputes. This year, our overarching theme is Creating Connections, examining three main pillars: **Technology**, **Transparency**, and **Trust**.

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 CAPABILITIES

- Business & Commercial Disputes
- Intellectual Property and Technology
- Litigation & Dispute Resolution
- White Collar

- Broker-Dealer and Investment Advisor Regulatory Enforcement, Disputes and Investigations
- Investigations
- Financial Institutions
- Securities Litigation and Enforcement
- Regulation, Compliance & Advisory
- Class Actions & Mass Torts

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