



Joshua N. Breen

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Services

Business & Finance

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Josh Breen focuses his practice on investment management. He represents registered investment companies, business development companies, investment advisers, and other financial services institutions in connection with regulatory, compliance, disclosure, corporate governance, and transactional matters. He counsels clients on the structure, capital formation, distribution, operation, and management of registered and unregistered investment products and on public and private securities offerings. Josh also has substantial experience working with clients on the adoption and implementation of compliance policies and procedures, navigating regulatory exams, and responding to regulator inquiries and investigations.

Prior to joining the firm, Josh was an associate in the Boston, Massachusetts office of an international law firm in its Investment Management Group. Previously, he was Counsel and Chief Compliance Officer in the Massachusetts office of an SEC registered investment adviser that specializes in the quantitative management of alternative investment strategies offered as registered fund products and separately managed account solutions.

While attending law school, Josh served as a clerk at a law firm, a legal and regulatory compliance intern at a warehouse lending company, and a legal and compliance intern at a full-service corporate law firm. He also served as a student attorney for his law school's Community Legal Services Consumer Protection Project where he represented Washington, D.C. and Maryland residents in bankruptcy and consumer protection matters. Josh was a staff member for the *Journal of Law and Philosophy* and a Street Law instructor/teacher.

Josh is a veteran of the United States Marine Corps.

Josh was recognized in 2025 as one of the "Best Lawyers: Ones to Watch" for Securities Regulation Law by *The Best Lawyers in America*®.

Education

The Catholic University of America, Columbus School of Law J.D. (2013)

Suffolk University B.S. (2010)

Admissions

Massachusetts (2014)

North Carolina (2023)

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Webinar: An Adviser's Guide to AI: What it is, the SEC's Proposed Predictive Analytics Rules, and How to use it

January 31, 2024

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July 12, 2023