

Joshua M. Hufford

Associate

Josh Hufford is a member of the firm's Business Law Practice Group where he focuses his practice on investment adviser and broker-dealer compliance.

Josh guides investment advisers, broker-dealers, and investment funds in their compliance with securities laws and regulations (federal and state) and Self-Regulatory Organization rules. He advises clients on all compliance related matters in connection with their operations, including advertising, internal controls, compliance programs, and other compliance-related issues.

Josh is also a member of the firm's Municipal Securities Dealer Team. The team provides broker-dealer and investment advisor regulatory advice and defends securities dealers in litigation and enforcement actions. In this capacity, Josh has drafted a comment letter to the Municipal Securities Rulemaking Board on behalf of a national trade association in regard to a proposed regulatory rule change and has helped clients draft policies and procedures to deal with the ever-changing regulatory environment.

Josh began his career at a dually registered broker-dealer and investment adviser where he was a registered member of the compliance team and traveled the country to lead compliance exams on the field offices of registered representatives and investment advisers. He relies on his practical experience and an up-to-date knowledge of regulatory developments to provide counsel to his clients in the areas of investment adviser and broker-dealer regulation and compliance.

Josh is passionate about the securities industry and is dedicated to helping clients navigate the regulatory maze of the federal securities laws. He is also actively involved in the firm's pro bono guardianship clinic and has recently broadened his experience by representing a pro-bono client in appealing his conviction of securities fraud under state law.

Legal Services

- Business Law
 - Investment Management


Education and Honors

- University of Cincinnati College of Law (J.D., 2015)
 - Corporate Law Fellow
 - Entrepreneurship and Community Development Clinic
- University of Wisconsin-Oshkosh (M.B.A., 2008)



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- University of Wisconsin-Oshkosh (B.S., 2006)

Bar Admissions

- Wisconsin

Professional and Civic Activities

- American Bar Association (Member)