

David C. Mahaffey

Partner

202 775 1207

dmahaffey@sullivanlaw.com



David is the managing partner of the Washington, D.C. office. Prior to joining Sullivan & Worcester, David was Special Counsel in the Washington, D.C. office of Gibson, Dunn & Crutcher. He previously served as Assistant General Counsel for Legislation and Investment Company and Adviser Regulation at the Securities and Exchange Commission and as Counsel to SEC Commissioner Aulana Peters.

Education

- Harvard Law School (J.D.)
- Princeton University (B.A., *cum laude*)

Bar & Court Admissions

- District of Columbia
- U.S. District Court, District of Columbia
- U.S. Court of Appeals for the District of Columbia Circuit

Awards & Honors

- *Chambers Global*, Ranked in Investment Funds (2021-2025)
- *Chambers USA*, Ranked in Investment Funds (Nationwide) (2015-2026)
- Recommended by *The Legal 500 U.S.* (2012-2026)
- *Best Lawyers in America*® (2009-2026)
- Washington, D.C. *Super Lawyers*, Securities/Corporate Finance (2014-2017)
- *Martindale-Hubbell* featured AV® Peer Review Rated

Community Engagement

- Princeton University, Medieval Studies Advisory Council

Representative Client Work

- Representing mutual funds, exchange-traded funds, closed-end funds, and business development companies and their independent trustees in connection with fund organization, public offerings and operations

Capabilities

- Investment Management
- Registered Funds & Independent Trustees
- Broker-Dealer Regulation
- Corporate Governance & Board Advisory
- Financial Services
- Government Investigations & White Collar Defense
- Investment Advisers, Commodity Trading Advisors & Institutional Investors

- Representing investment advisers and investment company boards in mergers and acquisitions
- Representing investment advisers and broker-dealers with respect to regulatory matters and law enforcement investigations arising under the federal securities laws
- Advising public companies concerning their status under the Investment Company Act of 1940