

Domenick Pugliese

Partner

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Dom is a senior statesman for the registered fund space, with 40 years of experience representing mutual funds, exchange-traded funds and their boards of directors. Dom was a pioneer in the ETF space, working to bring to market one of the earlier ETF complexes and his current clients include a variety of ETFs of all product types, including derivatives based funds, leveraged 2x funds, affinity type products and funds seeking cryptocurrency exposure. On mutual fund side, Dom has deep experience with all types of products and has been recognized for his work representing boards of directors.

Dom is a trusted adviser to registered investment companies and their boards regarding all aspects of Investment Company Act and Investment Advisers Act regulation. He counsels all types of investment companies, including mutual funds, closed-end funds, exchange-traded funds, and business development companies. He also dedicates a substantial portion of his practice to advising independent trustees and directors of mutual funds, exchange traded funds and variable annuity trusts.

Dom represents fund companies (and their Boards) of all sizes, from large, multi-fund and multi-manager complexes, to smaller fund companies both within multiple series trusts and as stand-alone entities. Dom and his team are expert in launching new fund complexes, in both a timely and cost-efficient manner and in counseling entrepreneurs who are thinking of entering the fund business. Dom has worked with clients creating new ESG mutual funds and ESG ETFs.

Dom has deep experience in the practical realities of how funds and advisers work, experience gained from working both inside investment advisory organizations and as outside counsel to those organizations and the funds they manage. This insider's perspective enables him to develop solutions that are both practical and effective. As outside counsel, Dom views his role as a multi-faceted one. Not only does he counsel boards on their statutory and regulatory obligations, but he also ensures that boards understand how to represent the best interests of shareholders and how to work with the adviser to advance the business of the fund and the interests of shareholders.

Dom has been recognized for his expertise and high level of service. He has been a finalist for Independent Counsel of the Year by the Fund Intelligence Mutual Fund Industry & ETF Awards for the last three years. Dom has been highly ranked by *Chambers Global*, *Chambers USA* and *Legal 500* for many years. He is also

Capabilities

- Corporate Governance & Board Advisory
- Financial Services
- Investment Management
- Registered Funds & Independent Trustees
- Regulatory Compliance
- Environmental, Social and Governance (ESG)
- Exchange-Traded Funds

recognized in the *Best Lawyers in America*® for the last seven years.

As counsel to Independent trustees, Dom coordinates Executive Sessions, with and without management, so that independent trustees can provide the strategic oversight and guidance so necessary to the success of the fund business. Dom also believes in working closely with internal counsel and the chief compliance officer.

Before entering private practice, Dom was a deputy general counsel for Alliance Capital and in-house counsel at Prudential Mutual Fund Management.

**Dom is not admitted to practice in Washington, D.C.*

Education

- George Washington University Law School (J.D., *with honors*)
- State University of New York at Binghamton (B.S.)

Bar & Court Admissions

- New York

Awards & Honors

- *Chambers Global*, Ranked in Investment Funds (2021-2025)
- *Chambers USA*, Ranked in Investment Funds (Nationwide) (2020-2026)
- *Best Lawyers in America*® (2016-2026)
- Recommended by *The Legal 500 U.S.* (2021-2025)
- Thomson Reuters "Stand-Out Lawyer" (2025)

Matters

- Created a multiple series trust for exchange traded funds and works regularly with clients on creating new ETFs, negotiating authorized participant agreements, exchange listing and SEC registration
- Serves as independent trustee counsel for a number of large complexes, some with dedicated international focus and other multi-manager complexes with a broad array of geographical focus and diverse investment strategies
- Serves as Trust counsel and Board counsel to a number of multiple series trusts, providing the full range of services from fund registrations, mutual fund to ETF conversions, proxies, compliance support, and development of policies and procedures, such as the liquidity risk management program; also helps clients navigate difficult issues relevant to smaller advisers, such as distribution and expense management
- Works closely with clients in addressing new requirements in a manner that is least disruptive to the business of the fund while still achieving the goals of the rule when new rules and regulations are enacted; also establishing liquidity risk management programs with clients and working on new derivative and valuation rule requirements