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## David W. Blass

Partner

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Based in our Washington, D.C. office, David Blass is a Partner in the Firm's Investment Funds Practice. David is a leading regulatory lawyer in the funds industry and has advised on matters involving innovative registered funds products, Investment Advisers Act compliance, SEC examination and enforcement matters, and broker-dealer regulatory compliance. He is uniquely qualified to provide strategic and regulatory advice on matters involving asset management firms and broker-dealers.

David has extensive knowledge of the regulatory requirements of the asset management industry having served as General Counsel of the Investment Company Institute, the trade association for registered

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### PRACTICE FOCUS

Corporate Investment Funds Registered Funds  
Funds Regulatory and Investigations

investment funds. He also held senior roles for over a decade at the U.S. Securities and Exchange Commission, most recently as Chief Counsel and Associate Director in the Division of Trading and Markets, where he oversaw broker-dealer regulation and large aspects of FINRA's regulatory program. David was the Associate General Counsel for the SEC where he was responsible for Dodd-Frank Act implementation, among many other programmatic areas. He also held a senior role in the SEC's Division of Investment Management, leading the office regulating registered investment advisers, including advisers to private funds.

*Chambers Global* reports that clients say he is an "excellent regulatory lawyer" who is both "very knowledgeable and easy to work with." David was notably named "Independent Counsel of the Year" by *Fund Intelligence's* Mutual Fund Industry & ETF Awards in 2021.