



## Charles M. Ponder

### Associate

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## OVERVIEW

Charles "Chase" Ponder is an associate and a member of the Asset Management and Investment Funds practice group. Chase assists registered investment companies and their independent board members with regulatory and compliance matters arising under US federal securities laws.

Prior to joining the firm, Chase served as a law clerk at the US District Court for the District of Nevada for the Honorable Elayna J. Youchah, as well as a law clerk at the US Bankruptcy Court for the Western District of Louisiana for the Honorable John S. Hodge. In law school Chase served as a legal intern at the US Securities and Exchange Commission's Division of Investment Management.

Before attending law school, Chase worked as an agent for New York Life Insurance Company where he provided insurance and investment advice to individuals, families, and businesses. As a registered representative, he obtained his Series 7, Series 66, and state insurance licenses prior to marketing financial products to consumers and worked under regulations promulgated by both the SEC and the Financial Industry Regulatory Authority.

## PROFESSIONAL / CIVIC ACTIVITIES

- Committee Chair, Forum 225, 2017-2018

## EDUCATION

- J.D., University of North Carolina at Chapel Hill School of Law, 2021
- B.S., Louisiana State University, 2016

## ADMISSIONS

- Bar of District of Columbia
- Bar of North Carolina

## THOUGHT LEADERSHIP *POWERED BY HUB*

- 17 October 2023, Securities Lending Reform: Daily Public Reporting of Aggregate Loan Amounts in 2026

## OTHER PUBLICATIONS

- *Fiduciaries and Best Interests: Should States Take the Lead?*, 24 N.C. Banking Inst. 241–270 (2020).

## AREAS OF FOCUS

- Asset Management and Investment Funds
- U.S. Registered Investment Companies