



Timothy A. Worthington

Counsel

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OVERVIEW

Timothy Worthington is counsel in the firm's Asset Management and Investment Funds practice. Prior to joining the firm, Timothy served as an adviser in the US Securities and Exchange Commission's (SEC) Division of Investment Management, disclosure review and accounting office. He has experience reviewing and analyzing investment company registration statements, merger documents, proxy materials, tender offers, and other filings to help ensure full disclosure, compliance, and additional regulatory requirements. He has provided formal and informal guidance to internal and external stakeholders on issues arising under the Investment Company Act, the Investment Advisers Act, and related laws and regulations.

PROFESSIONAL BACKGROUND

Timothy was previously an attorney-adviser and securities compliance examiner at the SEC's Division of Examinations. During his tenure, he served on an examination team, contributing to the planning and execution of examinations and researching applicable laws and regulations. He supported the collection of information for preliminary findings of violations and reviewed and assessed corrective actions taken by registrants in response to examination findings to determine compliance with applicable rules and regulations.

EDUCATION

- J.D., Temple University Beasley School of Law, 2012
- B.A., Colby College, 2008

ADMISSIONS

- Bar of Delaware
- Bar of Massachusetts

AREAS OF FOCUS

- Asset Management and Investment Funds