

Brenden P. Carroll

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Brenden Carroll represents U.S. registered investment companies and investment advisers in a wide variety of regulatory, transactional and compliance matters. These matters include the development and launch of new fund products, including funds of funds and funds that incorporate environmental, social and governance (ESG) factors into their investment processes. He also advises clients on the preparation of registration and proxy statements and seeking exemptive, interpretive and no-action relief (including novel relief) from the U.S. Securities and Exchange Commission (SEC). He also advises boards of directors/trustees of U.S. registered investment companies on fund governance and fiduciary oversight matters.

Mr. Carroll has significant experience with money market funds that operate in accordance with Rule 2a-7 under the Investment Company Act. He was actively involved in advising money market fund sponsors on the SEC's money market fund reforms that were adopted in 2010, 2014 and 2015. He also has extensive experience in matters relating to the SEC's "pay-to-play" rule, which imposes special restrictions on the political activities of investment advisers that seek to do business with state and local pension plans. He has assisted clients with obtaining exemptive relief from the SEC from the rule's two-year "time out" provision.

During law school, he served as a law clerk to a Commissioner of the SEC.

Education

- Georgetown University Law Center, J.D., 2008
- University of Colorado at Boulder, B.A., Economics, 2002