



Amy R. Doberman

PARTNER

NEW YORK

+ 1 212 295 6270

+ 1 301 997 6324

AMY.DOBERMAN@WILMERHALE.COM

Amy Doberman has more than 25 years of experience providing legal advice to asset management and wealth management clients. She counsels investment advisers on regulatory requirements relating to mutual funds and ETFs, wrap programs, retirement products and separate accounts with respect to a wide variety of issues, including registration requirements, trading issues, affiliated transactions, advertising, and product development. She advises retail broker-dealers and fund complexes on share class and distribution issues, as well as sales practices and due diligence efforts. Ms. Doberman also assists in managing SEC examinations and representing clients in enforcement matters involving investment advisers, mutual funds and ETFs.

Ms. Doberman spent almost seven years at the Securities and Exchange Commission in the Enforcement and Investment Management Divisions, ultimately serving as an Assistant Chief Counsel of the Division of Investment Management. She also has had extensive in-house experience, serving as general counsel of large asset management firms, and has been active in the Investment Company Institute. Ms. Doberman is currently a member of the NYC Bar Committee on Investment Management Regulation.

Solutions

Investment Management

Financial Services

SPAC (Special Purpose
Acquisition Company)
Transactions

Recognition

- Selected by her peers for inclusion in the 2019–2024 editions of *Best Lawyers in America* for her mutual funds law practice.

Credentials

EDUCATION

JD, New York University
School of Law, 1986

BA, Government, Cornell
University, 1983

magna cum laude

ADMISSIONS

New York

District of Columbia

Connecticut

GOVERNMENT EXPERIENCE

Securities and Exchange
Commission

Division of Investment
Management

Assistant Chief Counsel

Securities and Exchange
Commission

Division of Enforcement

Attorney