

# About the Authors

**Robert H. Rosenblum** is a blissfully retired lawyer. Rob loved his legal career, during which he was a partner at several wonderful law firms, the most recent of which was Wilson Sonsini. Rob had the privilege of representing a wide range of clients, from start-ups to some of the world's largest financial institutions and companies, and many companies in between, often on structuring financial products or transactions that had never been created or done before. An important part of Rob's practice included advising clients on investment company status issues, as well as investment adviser, broker-dealer, and other financial-entity status issues. Rob began his career at the SEC in 1986, where he worked in the Office of the General Counsel, in the Division of Corporation Finance, and as a legal counsel to then-Commissioner Joseph A. Grundfest. Rob has traded his law practice for skis, a mountain bike, and a host of other toys. Rob is the very proud father of two sons, one of whom is his co-author on this book, and the very proud grandfather of one (so far!) granddaughter.

**Benjamin D. Rosenblum** is an associate in the Washington, D.C. office of Cleary, Gottlieb, Steen & Hamilton LLP. Ben received a J.D. degree from the University of Virginia in 2019. His practice focuses on advising clients on securities regulatory issues, including investment company status issues, as well as enforcement matters.