

Counsel, Washington, D.C.

Securities Enforcement; Government Enforcement and White Collar Crime



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Education

J.D., J. Reuben Clark Law School,
Brigham Young University
(*magna cum laude*)

B.A., Brigham Young University
(*magna cum laude*)

Bar Admissions

California
District of Columbia

Experience

Law Clerk, Hon. Wade Brorby, U.S.
Court of Appeals for the Tenth Circuit

Joshua Ellis has broad experience representing corporations, their boards and individuals in investigations by the U.S. Securities and Exchange Commission (SEC), the U.S. Department of Justice (DOJ), other federal and state regulatory agencies, and the Financial Industry Regulatory Authority.

Mr. Ellis regularly represents clients in complex and sensitive regulatory enforcement investigations, many of which are parallel investigations conducted by both the SEC and the DOJ involving financial reporting, disclosure, accounting, insider trading and other financial fraud-related matters.

He also assists boards of directors and management in conducting internal investigations, and advises clients about preventive and remedial measures relating to compliance and internal controls matters.

Mr. Ellis's matters have included representation of:

- an investment bank and financial services company in investigations by the DOJ and the U.S. Commodity Futures Trading Commission into certain interbank offered rate submissions;
- a public company in investigations by the SEC and DOJ involving allegations of accounting fraud;
- a public company in an investigation by the SEC into certain specialized securitizations;
- an investment adviser in an investigation by the SEC involving conflict of interest and disclosure-related allegations;
- a public company audit committee in an internal investigation involving allegations of accounting fraud;
- a mutual fund firm on insider trading and related compliance matters;
- a public company in an internal investigation into potential violations of the Foreign Corrupt Practices Act; and
- a senior executive of a public company in an investigation by the SEC involving allegations of insider trading.

He previously served as vice chair of the Committee on Insider Trading Legislation of the American Bar Association Business Law Section.

Mr. Ellis has written extensively on federal securities law matters and is the co-author of a leading guide on SEC procedure, *The SEC Enforcement Process: Practice and Procedure in Handling an SEC Investigation* (Bloomberg BNA, 2019).

Selected Publications

"SEC Enforcement Division Issues Annual Report: Increase in Enforcement Actions and Focus on Main Street and Cyber-Related Fraud," *Skadden, Arps, Slate, Meagher & Flom LLP*, November 8, 2018

"SEC Investigative Report on Cybersecurity Emphasizes Internal Controls," *Skadden, Arps, Slate, Meagher & Flom LLP*, October 19, 2018

"Supreme Court Applies Statute of Limitations to SEC Disgorgement Orders," *Skadden, Arps, Slate, Meagher & Flom LLP*, June 7, 2017