



## Joseph P. Kelly General Counsel and Chief Compliance Officer

Joseph P. Kelly is the General Counsel and Chief Compliance Officer of Dunham & Associates Investment Counsel, Inc., responsible for Dunham's legal, compliance and risk management functions. Joe also serves as the Chief Compliance Officer (CCO) for the Dunham Funds, and Bank Secrecy Act/Anti-Money Laundering (BSA/AML) CCO for Dunham Trust Company. With over 15 years of experience in the financial services and asset management industry, Joe brings a wealth of knowledge and credibility to his role.

Prior to joining the firm in 2013, Joe was a Senior Associate at Dechert, LLP, where he represented investment companies, advisers, distributors and other service providers. Previously, he was Associate Counsel at SunAmerica Asset Management Corp. and served as Secretary to the SunAmerica Mutual Funds.

Joe earned a J.D. from Syracuse University College of Law and a B.S. from Xavier University. He also holds FINRA Series 7 and 24 registrations.

Joe lives in San Diego with his wife, Mia, and their two children. He is an avid soccer player and is active in his community, coaching his son's soccer team.

### At a Glance

- ✓ General Counsel and Chief Compliance Officer
- ✓ Over 15 years of experience in the financial services and asset management industry
- ✓ Earned a J.D. from Syracuse University College of Law and a B.S. from Xavier University

---

## About Dunham & Associates

In 1985, Jeffrey Dunham founded Dunham with the uncommon idea that fees paid by clients should be tied, in some way, to the performance of the investments they own. Today, Dunham and Dunham Trust have grown to become a multi-billion dollar firm, but we are still driven by the values of fairness and accountability that Jeffrey envisioned more than three decades ago.