



Mike Lalicata joins Jordan & Jordan as Management Consultant, Compliance Services

New York, NY – October 31, 2016: Jordan & Jordan welcomes Mike Lalicata to the Management Consulting & Regulatory Compliance Practice. Mike brings with him ten years' experience that has provided him with in-depth knowledge in trade surveillance, compliance monitoring and risk assessment. Most recently, Mike performed Trade Surveillance for Barclays Capital and was focused on identifying suspicious trading activities and handling of internal market regulation reviews. Prior to that, Mike was a Principal Examiner for FINRA.

As a Management Consultant, Mike will combine his sell-side compliance background with his experience from a self-regulatory organization to provide Jordan & Jordan clients comprehensive regulatory compliance assessments. His first engagement will focus on annual controls testing pursuant to FINRA Rule 3120 for a sell-side firm. Mike will also handle engagements that focus on the SEC's Regulation SCI as well as reviews focused on the requirements of electronic blue sheet ("EBS") reporting.

"Mike's broker-dealer compliance experience, along with his regulatory background, are a perfect blend for J&J as we continue to build out the Compliance consulting offering to our clients" said Chris Montagnino, Director, Compliance Services at Jordan & Jordan. "In addition, Mike has practical experience with surveillance development and analysis, particularly with regard to futures, which will be invaluable in the surveillance assessments J&J performs for clients."

Mike's keen understanding of the impact of suspicious activities will allow him to provide insight into the enhancements and expansion of our Execution Compliance and Surveillance System (ECS) to support new regulation. ECS is a web-based trade surveillance tool designed to determine execution quality and monitor compliance with best execution and related Reg NMS requirements.

Contact

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About Jordan & Jordan

Jordan & Jordan is a FinTech company with domain expertise in information, processes and technologies applied to the financial services marketplace. Keeping pace with market practice and regulatory change, Jordan & Jordan provides business, technology and compliance solutions to meet the challenges faced by customers in an increasingly regulatory and cost sensitive market. Jordan & Jordan leverages knowledge of the financial markets across three core practices: Management Consulting and Regulatory Compliance, Market Data Services, and Industry Solutions. Jordan & Jordan has offices in New York, Chicago, and London.