



## **Chris Montagnino Joins Jordan & Jordan as Director, Compliance Services**

**New York, NY – April 30, 2015** – Chris Montagnino, a Senior Regulatory and Compliance Officer, joins Jordan & Jordan’s (“J&J”) Management Consulting & Regulatory Compliance Practice as the Director of Compliance Services. Prior to joining J&J, Chris was the Deputy Chief Compliance Officer at First Republic Investment Management, Inc. This, combined with his sell-side compliance background and regulatory experience from NYSE Enforcement/Market Surveillance, strengthens Jordan & Jordan’s depth of knowledge in the regulatory compliance, surveillance and reporting areas that will benefit J&J’s clients.

Chris has a deep insight into regulatory compliance policies, requirements and challenges that will allow him to provide comprehensive assessments, review client controls/procedures for conformity with regulatory requirements, and offer recommendations for improvements to assist with company compliance and regulatory assessment preparation. As Chris stated, “With the continued growth and complexity of regulations impacting the securities industry, broker-dealers and advisers are continuously faced with the challenge of implementing changes related to new requirements while regularly assessing their controls relative to their overall supervisory programs. As a former compliance officer, I know that having a trusted and experienced partner to rely upon and assist with these responsibilities is invaluable.”

“Our success in trading and information compliance combined with the intensified focus from the regulators makes it imperative that we expand our offerings.” said Tom Jordan, President and CEO of Jordan & Jordan. “Chris’s experience across the buy-side, sell-side and exchanges is the ideal complement to our current activity.”

Additionally, Chris will work on enhancements and expansion of our Execution Compliance and Surveillance (ECS) system to support new regulation and monitoring functionality. ECS is a web-based trade surveillance tool designed to determine execution quality and monitor compliance with best execution and related Reg NMS requirements.

As the regulation landscape changes, Jordan & Jordan consistently provides a proven process coupled with the fundamental tools needed to ensure regulatory compliance for our clients.

### **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 securities industry. Keeping pace with market practice and regulatory change, J&J provides business, technology and compliance solutions to meet the challenges of accelerating regulation, evolving technology and increasing cost pressures. J&J 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. To learn more, visit our web site at [www.jandj.com](http://www.jandj.com).