



**SDDCO Announces New Hire
Monica McGinley, Esq.
Director of Investment Adviser Compliance Services**

The SDDCO Group of CPAs and consultants for the financial services industry is pleased to announce the recent hire of Monica McGinley, Esq. as Director in charge of investment adviser compliance services.

SDDCO Regulatory Services LLC, a subsidiary of The SDDCO Group (www.sddco.com) of CPAs and consultants, has added a senior regulatory compliance member with the hire of Monica McGinley as Director in charge of investment adviser services.

About Monica McGinley, Esq.

Monica McGinley is a consultant with more than fourteen years of experience in the securities industry, serving as Director of Compliance with Bank of America Merrill Lynch, as Vice President of Compliance with Morgan Stanley Investment Management, and as Chief Compliance Officer for a boutique asset manager, a limited purpose broker-dealer, and a family of registered mutual funds.

Past responsibilities included developing and supervising policies and procedures in accordance with regulatory requirements and industry best practices. As compliance partner to various business units, Monica was also responsible for providing ongoing advice regarding product development and business activities.

Monica earned a Juris Doctor from St. John's University School of Law and a Bachelor of Arts in Philosophy, Politics, and Law from Binghamton University. She is FINRA registered as a General Securities Principal (Series 24) and a General Securities Representative (Series 7).

"Monica brings extensive experience in guiding investment advisers through the regulatory maze, which is made up of the federal regulations governing investment advisory activity," said Hale Halasy, President. "We're proud to welcome her to our team as both a client consultant and valued firm resource."

About the Director Role

In her role as Director with SDDCO Regulatory Services, LLC, Monica oversees regulatory compliance services for investment advisers, delivering customized solutions on an attentive

outsourced basis. A seasoned consultant, Monica leads advisers, in accordance with the Investment Advisers Act of 1940 Rule 206(4)-7, through SEC and state registrations. She develops and updates firm specific compliance manuals; supports the year-round maintenance of the adviser compliance program; and performs as the designated Chief Compliance Officer.

About The SDDCO Group

Formed in 1952, The SDDCO Group extends outsourced support to financial services industry. Clients include investment advisers, broker-dealers, commodity brokers, privately held funds, and U.S. arms of foreign banks. Services include SEC, CFTC, NFA and FINRA registrations, accounting and bookkeeping services, FinOp support, tax compliance, regulatory compliance, AML independent testing, and broker-dealer operations. Licensed SDDCO professionals also assume CCO and CFO roles on an intensified outsourced basis. Send general inquiries to "Ask Us" on the company website.

SDDCO Locations

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