



SDDCO Brokerage Advisors, LLC Welcomes New Director of Compliance

To maintain effective supervision over its growing sales force, SDDCO Brokerage Advisors, LLC (MEMBER FINRA/SIPC) announces that a senior compliance professional, Ian Reddock, has joined the firm as Director of Compliance.



Thu May 30, 2013

NEW YORK, NY 10022, May 30, 2013 (GLOBE NEWSWIRE) -- via PRWEB - SDDCO Brokerage Advisors, LLC, a subsidiary in The SDDCO Group, is adding a senior compliance professional to its staff with the appointment of Ian Reddock, who will oversee the administration of the firm's compliance program across its foreign and domestic branch offices.

Ian Reddock brings to the firm over 20 years of experience in the financial industry with expertise in the direct supervision of representatives, regulatory compliance, and the operation of a compliance program in a high volume, multi office, retail environment. A regulatory compliance specialist, Reddock maintains multiple registrations and degrees, including FINRA Series 7, 24, 53, 55, 63 and 65; a B.S. in Finance from the University of Maryland; and, a J.D. from Touro Law Center in Huntington, New York.

Over the past 20 years, Reddock has served firms in the areas of operations, trading, and compliance. Prior positions include that of Compliance Officer at John Hancock Financial Network and Sun Life-IFMG, and Securities and Operations Manager at Millennium Securities Corporation in New York, NY.

"Ian brings significant experience," said Bryon Lyons, CEO, "from both the registered rep side and the compliance side, together with his legal and finance education, to help reinforce the firm's emphasis on getting business done right in this industry."

As Director of Compliance, Reddock will coordinate and oversee the implementation of the compliance program for the broker-dealer, its representatives, and its branch offices. Responsibilities will include overseeing private fund due diligence; coordinating annual compliance reviews; directing the AML program; managing the continuing education program, and providing direct supervision of the regulatory compliance program in each office.

About the Firm

SDDCO Brokerage Advisors, LLC (MEMBER: FINRA/SIPC) is an introducing broker-dealer with a focus on private placements, corporate advisory and capital acquisition services. The firm also aligns with other financial industry participants (broker-dealers, investment advisors, hedge funds, mutual funds, private equity firms, and other corporate clients) to offer investment banking, referral, and operations consulting services. As the brokerage arm and a subsidiary of The SDDCO Group, SDDCO Brokerage Advisors, LLC is also able to provide a platform for industry professionals to conduct business while their broker-dealer is in the midst of a FINRA new or continuing membership process. For more information about how The SDDCO Group can help your business take the next step, send general inquiries to the "Ask Us" link at <http://www.sddco.com>.