



COMPLIANCE PROVIDERS

This listing has been created to help NAMA members connect with external compliance providers. Members should do their own due diligence when selecting these professionals.

Compliance Firms

Alternative Regulatory Services

Kim McManus, Founder and President

<http://alternativereg.com>

kmcmanus@alternativereg.com

973-618-9500

ARS helps numerous MA firms with compliance risk management and regulatory advisory services.

Garrison Compliance Group

Mark Squillante, President

856-726-IRMA (4762)

www.macompliance.com

mark@macompliance.com

Mark is a former MA principal and CCO of a leading MA firm and has decades of experience in the MA and general muni sectors.

Kroll LLC

Rose Kaufman and Alyssa Heim

424-281-6252

www.kroll.com

rose.kaufman@kroll.com; Alyssa.heim@kroll.com

Kroll supports regulated entities across the globe on various compliance matters. Rose and Alyssa provide compliance services to MAs and other regulated firms.

Law Firms with Compliance, Legal and Other Services

Ed Fierro, Senior Counsel

Bracewell LLC

www.bracewell.com

ed.fierro@bracewell.com

713-221-1107

Ed is a former senior counsel in the SEC's Office of Municipal Securities. At Bracewell, he advises MA firms and other regulated entities on legal, compliance and regulatory issues.

Jeff Qualkinbush, Partner

Barnes and Thornburg LLP

<https://btlaw.com/en/people/jeffery-qualkinbush>

Jeffery.Qualkinbush@btlaw.com

317-231-7753

Jeff assists MA firms and other regulated entities on numerous compliance and legal matters that best fit a firm's needs.

Tesia Stanley, Attorney

Ballard Spahr

www.ballardspahr.com

stanleyt@ballardspahr.com

801-531-3036

Tesia was a staff member of the MSRB at the time the municipal advisor rules were initially adopted under the Dodd-Frank Act, and served as a research specialist at the SEC. She represents clients with SEC compliance issues and other public finance litigation. Ballard Spahr also has counsel that assist regulated entities in enforcement matters.

Law Firms to Assist with Enforcement Actions and Complicated Examination Issues

Kevin Harnisch, Head of White Collar and Co-Head of RISC

Norton Rose Fulbright

www.nortonrosefulbright.com

Kevin.harnisch@nortonrosefulbright.com

Kevin represents numerous clients before the SEC and other regulatory bodies, and has worked with Dave Sanchez on several MA cases. Prior to joining NRF, Kevin held positions at the SEC including serving as a Branch Chief in the SEC's Enforcement Division.

Peter K.M. Chan, Partner

Baker & McKenzie LLP – North America Financial Regulation and Enforcement Practice

www.bakermckenzie.com

peter.chan@bakermckenzie.com

Peter's practice includes representing parties before the SEC and other regulatory bodies. Prior to this, Peter served for 20 years in various positions at the SEC, including as head of the SEC's Municipal Securities and Public Pensions Unit in Chicago. He has spoken at previous NAMA events.

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