



Firm Overview

www.corecls.com



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Message from Our CEO

Thank you for considering Core Compliance for your compliance consultation needs.



At Core Compliance we specialize in providing solutions for today's growing businesses. We are uniquely equipped to offer both compliance and risk management consultation to investment advisers, securities broker-dealers, registered investment companies, hedge funds, private equity firms and financial professionals. Focusing on the latest regulatory developments, Core Compliance provides customized guidance on the toughest issues facing the financial and securities industry today.

From the onset, Core Compliance aims to define and develop your goals and expectations. Our team provides practical, sound advice based upon our deep understanding of the securities industry. Additionally, our service offerings allow you to select from multiple fixed fee services or hourly customized services to help guide and grow your firm's compliance program.

As a client, you will have access to our free monthly podcasts (the CCO Buzz), newsletters, our blog and exclusive webinars, which will keep you up to date on the latest regulatory developments. Many of our clients also participate in our compliance workshops for continuing education and practical guidance on the latest regulatory compliance requirements.

No matter if you are looking for an outsourced compliance partner, a custom-tailored engagement or specialized project, Core Compliance can help and support your business. We use a team approach to every engagement, which means that you will get the attention you need, when you need it. Our goal is to help identify gaps, mitigate risks and enhance your compliance program long-term.

WHO WE ARE

We offer a high-touch, human-centric approach – with practical solutions that support longevity and growth.

At Core Compliance & Legal Services, Inc.SM ("Core Compliance"), we assist registered investment advisers, broker-dealers, advisers to private funds, advisers to investment companies, and financial professionals to ensure they are meeting the complex regulations that heavily impact their business.

We have a genuine passion for the work we do. Our years of in-house and regulatory experience have taught us the importance of designing compliance solutions tailored to fit your overall business needs.

We collaborate to understand the inner workings of your business, apply our in-depth understanding of industry regulations, and partner with you to ensure that the foundation of your compliance program aligns with your firm's business practices, unique goals, and growth trajectory.

OUR DIFFERENCE

Collaboration & Customization

Our team partners with clients to provide effective compliance solutions, customized to fit their specific business models.

Passion & Dedication

We work tirelessly to provide powerful, innovative solutions for our clients and are committed to supporting their business growth.

Experience & Thought Leadership

With our industry experience and our business centric approach, our team frequently serves as thought leaders—publishing articles, speaking at industry conferences, and serving as experts to various compliance publications.

Who We Serve

Investment Advisers

Whether you're registering as a new investment advisory firm, changing from state to federal registration, or looking to expand your business offerings, you need an expert compliance team on your side to ensure that all regulatory requirements and deadlines are met in a thorough and timely manner. [Learn more about our service offerings.](#)

Investment Companies

In the investment company space, it's crucial for sponsors, advisers, sub-advisers, and service providers to ensure regulatory requirements are maintained and deadlines are met. [Learn more about our service offerings.](#)

Broker-Dealers

For those who are initially registering or looking to enhance their existing compliance program, our specialists can help Broker-Dealers with registration and FINRA compliance requirements, as well as assist with the development of effective written supervisory procedures. [Learn more about our service offerings.](#)

Private Funds

Whether you manage a private equity fund, private real estate fund, or hedge fund, your compliance program needs to be customized to the unique regulatory requirements and risk management matters of the industry. [Learn more about our service offerings.](#)

HOW WE CAN HELP

*We don't just check the boxes; we're
here to grow with you*

Packaged Solutions

Our team works to provide expert ongoing compliance support and management, where our involvement is dependent on the level of support you require. [Learn more.](#)

Hourly Services

We understand that on occasion firms exceed their own operation bandwidth. Our team is here for support throughout the year for those special circumstances, where third-party assistance or outsourcing your compliance project is necessary. [Learn more.](#)

Special Projects

At times firms may need a more custom solution outside what is typically offered. We work with you, to build a custom offering that fits your business, budget, timeline and special needs. [Learn more.](#)



Michelle L. Jacko, CSCP
CEO & Founder

Michelle is the CEO of Core Compliance and is invested in every client relationship. She specializes in investment adviser, broker-dealer and fund regulatory compliance matters. [Learn More](#)



Ricardo Meneses
Chief Operating Officer

As the COO, Ricardo is here to ensure you receive everything you need from the Core Compliance team. Reach out to him with any questions or concerns. [Learn More](#)



Jason Ewasko
Chief Development Officer

As Chief Development Officer, Jason leads client onboarding, engagement and retention and spearheads the development and growth of the firm's service offerings and cultivation of strategic partnerships. [Learn More](#)



Michelle L. Jacko, CSCP

CEO

Michelle specializes in Investment adviser, broker-dealer and fund regulatory compliance matters; as well as regulatory examinations and operational risk management. [Learn More](#)



Tina L. Mitchell

Managing Director, Consultation Services

Tina's years of experience covers a multitude of areas, including investment adviser compliance risk management, and compliance policies and procedures. [Learn More](#)



Maggie Tavares

Senior Compliance Consultant

Maggie's pro-business approach is dedicated to establishing comprehensive training protocols and developing custom compliance programs. [Learn More](#)



Matthew Rothchild

Senior Compliance Consultant

Matthew has developed invaluable insight utilizing analytics and forecasting to create regulatory defense systems for firms in anticipation of regulatory changes in a transformative market. [Learn More](#)



Suzette Hagan

Compliance Consultant

Suzette is known for her ability to enhance compliance cultures while advancing new regulatory compliance requirements through practical policies and risk mitigation operation. [Learn More](#)



Christopher Hufty

Compliance Consultant

As a former multi-state securities regulator, Christopher ability to leverage compliance technologies to enhances internal control development further help with risk mitigation. [Learn More](#)



Alexandria Hutchinson

Compliance Associate

Alex's affinity for problem solving and service excellence makes her an integral part of the team and the practical solutions we deliver to our clients. [Learn More](#)



Ricardo Meneses

Chief Operating Officer

Ricardo is responsible for developing growth models and spearheading efforts towards implementation of Core Compliance's business strategies and service offerings. [Learn More](#)



Aneka van Dongen

Controller

Aneka has over 15 years of Accounting experience, with an emphasis on cost reduction and expense management. [Learn More](#)



Aimee Lastrella

Marketing Specialist

Aimee is instrumental in elevating brand awareness and inbound marketing efforts to support Core Compliance's strategic initiatives. [Learn More](#)



Jason M. Ewasko

Chief Development Officer

Jason leads client onboarding, engagement and retention and spearheads the development and growth of the firm's service offerings and cultivation of strategic partnerships. [Learn More](#)



Anna Schmitkey

Administrator

Anna Schmitkey plays an integral role in supporting our team and interfacing with clients and industry professionals. [Learn More](#)

THANK YOU

Contact Us

for any additional questions regarding how
we can serve/assist you!

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