

JODI JAMISON

Financial services | Regulatory

PROFILE

Experienced securities attorney with an expertise in federal securities laws, rules, and regulations applicable to BDs, transfer agents, investment companies, and investment advisors. Experience in federal and state banking laws, including those applicable to cryptocurrencies and other digital assets. Vast experience drafting and negotiating a wide variety of contract types, including, NDAs, service agreements, distribution agreements, employment agreements, MOUs, LOIs, custody agreements, license and technology agreements, and purchase and sale agreements.

CONTACT INFO

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SKILLS

- Dynamic public speaker
- Excellent writing skills
- Effective leader with decision-making skills
- Able to adapt and think creatively
- Ability to translate and explain complex legal analysis in layman's terms
- Identify risks and provide practical advice to mitigate risks
- Ability to work under extreme pressure

EDUCATION

**Georgia State University
College of Law**

WORK EXPERIENCE

Electronic Transaction Clearing, Inc. – General Counsel & Chief Regulatory Officer

7/2018 – 10/2019

- Worked closely with CEO and other business partners to help assess and implement business opportunities
- Liaison to the regulators (SEC and FINRA) and clearing corporations (NSCC, DTCC, and OCC)
- Advised CCO, CFO, and FINOP on compliance and financial operations issues
- Assisted with development of firm's digital asset business, which included clearing and settling digital securities and the custody of cryptocurrencies for Coinbase Custody institutional customers
- Extensive networking with various attorneys and industry groups on digital asset issues and significant dialogue with the SEC and FINRA on issues relating to this evolving area
- Panelist for Headwinds in the Token Economy hosted by the Chamber of Digital Commerce

The Bank of New York Mellon Corporation

Senior Managing Counsel (2017 – 7/2018)

Managing Counsel (2014 – 2017)

Senior Counsel; Chief Legal Officer (2010 – 2014)

- Helped a BNY Mellon FinTech company launch a program manager service offering to state sponsored investment programs, including the development of a front-end web portal, identifying and advising on regulatory issues, negotiating contracts, and addressing IP and information security issues
- Served as regulatory attorney for Asset Servicing businesses, which included acting as liaison on regulatory examinations and preparing communications to the SEC, state securities divisions, and other state regulatory divisions
- Counsel for BNY Mellon's UIT servicing business, in which BNY Mellon serves as trustee/fiduciary and service provider
- Counsel for BNY Mellon's ClearSky® service group that provides state filing services to mutual funds
- Counsel for Global Risk Solutions, the division of BNY Mellon that provides performance and risk analytics services.
- Provide legal support to BNY Mellon banking entities on Regulation R issues, the Volcker rule, affiliation issues under 23A/23B, and state regulations, such as abandoned property laws.
- Provide legal and regulatory support to HedgeMark's registered investment advisor and broker-dealer providing dedicated managed account services to asset owners and asset managers
- Helped prepare application for exemptive relief filed with the SEC relating to 1940 Act affiliation issues.

PNC Financial Services – Senior Counsel/Chief Legal Officer

10/2006 – 7/2010

- Chief Legal Officer for five broker-dealers providing mutual fund underwriting services
- Advised on all regulatory matters impacting the BDs, as well as the affiliated registered transfer agents and administrator

Juris Doctor
8/1992 – 5/1995

University of Georgia
Terry College of Business
BBA - Finance
1/1988 – 12/1991

BAR MEMBERSHIP

- New York
- Delaware, In-House (inactive)

EXTRACURRICULAR ACTIVITIES

- Perform stand-up comedy
- *Pro bono* immigration legal advice
- Watch an inordinate amount of college football and basketball

- Conducted review of rulemaking activities of SEC, FINRA and other regulatory bodies and prepared comment letters as necessary and collaborated with industry groups such as ICI and SIFMA
- Leader of Regulation R task force
- Speaker at PLI Conference in February 2011 on broker-dealer supervision rules
- Participated in webcast sponsored by ACA Compliance Group titled "Mutual Fund Distributors"

Securities and Exchange Commission

Attorney-Advisor – OCIE Broker-Dealer Exams (2/2000 – 10/2006)

- Lead attorney on supervision and sales practices exams
- Member on teams examining hedge funds sales practices, AML procedures, IPO spinning, municipal bonds, Regulation S-P, best execution, and internal controls.
- Member of Global Settlement Team investigating research analysts' conflicts of interest
- As a member of team conducting mutual fund breakpoint sweep, led exam of large broker-dealer and assisted with preparation of public report
- Member of Commission-wide task force on 529 plans and co-lead on exam sweep regarding 529 plans.
- Collaborated with the Division of Market Regulation on SRO rulemaking proposals
- Prepared examination guides on options, derivatives, Regulation T, telemarketing and cold calling, misappropriation of funds, and variable insurance products
- Presentations at NASD Institute conference on Variable Insurance Products, OCIE conference on Variable Insurance Products for '40 Act examiners, OCIE Conference on Broker-Dealer Examination Training and to OCIE broker-dealer examiners pertaining to variable insurance products
- Liaison to Commission's San Francisco District Office BD Exam Group

Staff Attorney – Enforcement Division (May 1996 – February 2000)

- Investigated broker-dealers, investment advisers and investment companies for violations of federal securities laws, including misrepresentations, unauthorized trading, churning, unsuitable recommendations, and failure to supervise
- Key member of team that investigated Olde Discount Corporation which resulted in a substantial fine and application of novel legal theories
- Investigated Reg D and Reg S offerings (and other unregistered offerings) to determine compliance with registration or exemption requirements
- Served as an EEO Counselor and a Freedom of Information Act liaison.