

NCS Regulatory Compliance Expands Nationwide Operations

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FOR IMMEDIATE RELEASE:

Londonderry, N.H. – November 26, 2018 – NCS Regulatory Compliance, the nation's leading regulatory compliance consulting firm, is pleased to announce that they have expanded into California and Atlanta. Kerry Rider has joined the firm as Vice President, and will take the lead for their Los Angeles/West Coast practice. Lisa Roth has joined the firm, and as Senior Consultant will cover the Northern California and Oregon Markets. And Virginia "Ginny" Voos, Senior Consultant, who also recently joined the firm, will help lead our Southern practice out of Atlanta.

According to Mark Alcaide, Managing Partner and Chief Operating Officer of NCS Regulatory Compliance, "Our firm has focused over the decades on providing hands-on, customized compliance consulting support to clients in any region of the country. With these three talented additions to our rapidly growing team, we have never been better positioned to provide the personalized services that Investment Advisers and Broker Dealers have been clamoring for, anywhere in the country."

Kerry Rider most recently ran her own successful compliance consulting firm for nearly 20 years and provided creative, business-friendly solutions to

complex regulatory matters. In addition to running her own firm, Kerry has served as Chief Compliance Officer for a large, retail broker/dealer and investment advisor, Chief Compliance Officer and Director of Compliance for a wholesale broker/dealer, and Chief Compliance Officer for a regional investment advisory firm. Kerry currently holds both a Series 7 and 24 license.

Added Alcaide, "Clients have already seen the benefits of Kerry joining our team along with the insights she brings from the decades of experience she gained running her own firm and servicing a diverse client base. Through NCS Regulatory Compliance's integrated platform and the support of their dedicated, professional, nation-wide team, we are confident that this is a win-win-win: for her, our team, and her past and future clients."

Lisa Roth brings over 20 years of Financial Services experience specializing in advisory compliance and consulting to our Northern California practice. During her tenure as an independent consultant and as a long-time employee of LPL Financial and Commonwealth Financial Network she has managed regulatory exams, served as a client relationship manager, and specialized in policy drafting and risk management. While she was an Assistant Vice President at LPL, she also supported development of their Registered Investment Advisor (RIA) Custody platform servicing more than 400 RIA firms and 4,800 advisors. Ms. Roth holds her Series 7, 24, 53 and 66 licenses and has a Bachelor Degree in Finance from San Diego State University.

Alcaide continued, "In her role as a Senior Consultant, she provides expert advice to RIA compliance clients for the design and execution of their compliance programs including researching and providing guidance on specific SEC and state regulatory requirements, corresponding with regulators to interpret regulatory rules, customizing best practices for each of her clients, and strategizing new ways to add value to client relationships."

Ginny Voos has been working in the Financial Services Industry since 2001 serving as Chief Compliance Officer, Financial and Operations Principal and consultant for Financial Services firms of all sizes. Ms. Voos' compliance experience includes private placements, mergers & acquisitions, trading, mutual funds, variable annuities, sales practices, back office operations, anti-money laundering, firm element training, FINRA exams, 3110/3120 testing and preparation of written policies and procedures. She currently holds her Series 7, 24, 28, 63, 79 and 99. Ms. Voos is also a Certified Fraud Examiner, Certified Regulatory Compliance Professional®, Certified Financial Crimes Specialist and Certified Securities Compliance Professional™.

Ginny will help lead the firm's services out of Atlanta, and will continue her role in providing leading edge compliance consulting to firms of all sizes, speaking at national conferences, and serving as a practiced regulatory compliance thought leader.

"Kerry, Lisa, & Ginny are joining our firm at an exciting time," emphasizes Alcaide. "With our expanded presence nationally, and increased resources dedicated to the West Coast and Southeast, we will continue our firm's history of providing hands-on, customized compliance consulting to IA and BD

firms of all shapes and sizes in every state in the country.”

About NCS Regulatory Compliance

With more than 20 years of experience in the registration and compliance consulting space, NCS Regulatory Compliance offers deep expertise and proven compliance knowledge for investment advisers and broker-dealers. NCS Regulatory Compliance’s experts remain on the cutting edge, leveraging decades of experience and the latest technologies to simplify and streamline the registration process and management of ongoing compliance requirements for clients. For more information on NCS Regulatory Compliance, visit www.ncsregcomp.com.

If you’d like more information about this topic, our company, or to schedule an interview with Mark Alcaide, please contact:

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