

Sophia Ohanessian

CONSULTANT

CAREER HIGHLIGHTS

ESSENTIAL EDGE COMPANIES

CONSULTANT

- Focus on private funds as part of an overall team effort to enhance the compliance program of a large publicly traded RIA.
- Strategic contributions to a new solution for independent RIA AML exams.
- Supported broker-dealer and RIA regulatory programs, including annual FINRA Rule 3130 reviews, AML testing, and preparation of reports and corrective action plans to address regulatory findings.
- Developed and implemented remediation strategies.
- Provided litigation support in connection with regulatory matters.

KINGSTON INFRASTRUCTURE PARTNERS (a Cerberus Capital management affiliate)

CHIEF COMPLIANCE OFFICER / LEAD LEGAL

- Served as CCO and legal lead for a planned SEC-registered investment adviser focused on infrastructure investing.
- Designed and implemented the firm's legal and compliance infrastructure (206(4)-7, code of ethics, AML, cybersecurity).
- Managed all legal aspects of RIA formation, SEC registration, and investor onboarding.
- Drafted fund documents and negotiated service provider agreements.
- Provided legal counsel on regulatory strategy, conflicts of interest, and investor communications.
- Supported investor due diligence and coordinated with outside counsel and prospective LPs.

SECL LLC

LEGAL AND COMPLIANCE CONSULTANT

- Provided advisory services to broker-dealers, RIAs, mutual funds, and private fund managers.
- Drafted compliance manuals and codes of ethics.
- Conducted mock SEC exams and annual reviews.
- Advised on fund formation, AML programs, and vendor diligence.
- Researched and analyzed SEC, FINRA, ERISA, and CFTC rules.



LICENSES & CREDENTIALS HELD

Series 7 – General Securities Representative

Series 24 – General Securities Principal

Series 66 – Uniform Combined State Law

AREAS OF EXPERTISE

- RIA compliance program management
- 3(c)(1) and 3(c)(7) exemptions
- Investor due diligence standards
- Proficiency in navigating multijurisdictional issues across SEC, FINRA, ERISA, and CFTC frameworks
- Private equity and hedge fund managers' support including structuring, compliance oversight and fund documentation

INDUSTRY ACTIVITIES

FINRA Arbitrator

RWC PARTNERS LTD (currently Redwheel Capital)

U.S. COMPLIANCE OFFICER

- Responsible for the implementation, maintenance, and testing of the compliance program for the firms two SEC registered investment advisers, 1940 Act mutual fund, and 3(c) 7 hedge funds.
- Ensure compliance with SEC, FINRA, ERISA and CFTC rules and regulations.

MERCANTIL COMMERCEBANK (currently Amerant)

SENIOR VICE PRESIDENT / WEALTH MANAGEMENT COMPLIANCE MANAGER

- Designation as the Chief Compliance Officer with the SEC and FINRA.
- Ensured the compliance program was implemented, maintained and tested.
- Advised the firm on all applicable FINRA and SEC rules, regulations and best practices.
- Prepared all regulatory filings (ADV, Wrap Brochure, BD, BR, Complaints, 4530, Privacy Notice).
- Oversaw registration, licensing and training program for registered personnel.
- Supervised the review and approval of all marketing material.
- Optimized relationship with regulators and managed and responded to all internal audit and regulatory exams and inquiries.
- Extensive experience in the handling of SEC and FINRA enforcement actions.
- Managed all legal issues and collaborated with outside counsel as needed.
- Managed a staff of 5 compliance officers.
- Provided compliance support and guidance to senior management for ongoing and new business initiatives.

BROADSTREET INVESTMENT GROUP

LEGAL CONSULTANT

- Draft initial and subsequent amendments to private placement memorandums for Reg D offerings.

ROCHDALE INVESTMENT MANAGEMENT (currently City National)

ASSISTANT GENERAL COUNSEL AND COMPLIANCE MANAGER

- Supported the general counsel and chief compliance officer with all legal and regulatory matters of the registered 1940 Act mutual fund, SEC registered Rochdale Investment Management and Symphonic Financial Advisors, FINRA member broker dealers CRM Securities and Symphonic Securities, and New York State-registered Symphonic Insurance Agency, LLC.
- Tested, reviewed and enhanced the compliance programs for all entities.
- Oversaw the review and approval of research analyst reports and fund marketing materials.
- Drafted and reviewed legal MA agreements, including but not limited to, mutual fund selling, transfer agency, sub-advisor, solicitor, referral, employment, non-disclosure and noncompete agreements.

PROFESSIONAL ASSOCIATIONS

Active New York State Bar Admission

Member, Armenian Bar Association

Member, American Bar Association

EDUCATION

HOFSTRA UNIVERSITY LAW SCHOOL HEMPSTEAD, NY

Juris Doctorate

NEW YORK UNIVERSITY NEW YORK, NY

Bachelor of Arts,
Political Science