



LORI J. NEIDEL, CRCP

COUNSEL

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Lori Neidel has more than 15 years of experience providing attentive compliance care to advisers of all sizes. A senior securities lawyer, Lori has extensive subject matter knowledge and leadership gained as founder and CEO of Adviser Compliance Services, a provider of regulatory compliance and government relations services for registered investment advisers of all sizes across the United States.

She brings her clients a wealth of securities industry experience, including:

- A solid insider perspective as a former Missouri state securities chief enforcement counsel
- Years of experience as a securities lawyer in private practice serving independent advisers for their needs for regulatory affairs counsel
- Familiarity with institutional assets as a past board member for the Missouri State Employees Retirement System

In addition, Lori is a frequent speaker on compliance topics for national adviser organizations.

BACKGROUND

Lori was the founder/CEO of Adviser Compliance Services before it combined with ATGS.

EDUCATION

- Saint Louis University School of Law (J.D., *cum laude*, 1995)
- Saint Louis University (B.S., 1986)
 - Business Administration
- FINRA Wharton Institute (2009)
 - Certified Regulatory and Compliance Professional

PROFESSIONAL ACTIVITIES

- Missouri Bar Association
- American Bar Association
- National Society of Compliance Professionals

CHARITABLE AND CIVIC INVOLVEMENT

SERVICES AND INDUSTRIES

Securities Regulation and Litigation

Financial Services and Banking

ADMISSIONS

Missouri

- Rotary Club of Columbia, Missouri