



## SCOTT M. SNIPKIE

### COUNSEL

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Scott Snipkie is an accomplished securities enforcement attorney, former assistant attorney general and Navy veteran. He applies his unique combination of securities law experience and knowledge to crafting effective compliance solutions for investment adviser clients.

When compliance requires a more nuanced reading of the rules, Scott provides a high level of analysis for clients' most challenging regulatory questions. That critical insight helps guide clients to identify and implement optimal compliance solutions. Scott takes a proactive approach, going beyond risk avoidance to counsel clients on how to successfully achieve their business goals while maintaining compliance with all applicable regulations. Scott is able to take the most complex regulatory issues and explain them to clients clearly and succinctly.

His extensive background includes experience as Missouri Securities Division Enforcement Counsel, working closely with examiners and investigators to enforce state securities law; as a member of the North American Securities Administrators Association (NASAA) enforcement working group; and as Assistant Attorney General in the Missouri Attorney General's Office handling complex regulatory and administrative matters on behalf of state agencies.

### BACKGROUND

Scott was a compliance consultant with Adviser Compliance Services, a provider of dedicated compliances services for Registered Investment Advisers (RIA), before it combined with AT Government Strategies. In addition, from 1998–2004, he served as a nuclear operator aboard the submarine *USS Dallas*.

### EDUCATION

- University of Missouri-Columbia (M.A., 2013)
  - Journalism
- University of Missouri-Columbia (J.D., 2012)
- Pennsylvania State University (B.A., *with Highest Distinction and with Honors*, 2008)
  - Journalism
  - Phi Beta Kappa

### SERVICES AND INDUSTRIES

Governance and Compliance

Securities Regulation and Litigation

Financial Services and Banking

### ADMISSIONS

Missouri

Pennsylvania

## CHARITABLE AND CIVIC INVOLVEMENT

- Veterans of Foreign Wars

## ACCOLADES

- Attorney General's Award for Excellence in Litigation (2018)

## THOUGHT LEADERSHIP

July 2025

**Regulatory Update for State-Registered Advisers**

NAPFA Advisor

January 2025

**Considerations in Serving Divorcing Spouses**

NAPFA Advisor

August 2024

**AI Administrative Use Guidelines**

NAPFA Advisor

September 2022

**A compliance professional's take on the new marketing rule**

NAPFA Advisor

July 2022

**Keeping case studies compliant**

NAPFA Advisor

December 2020

**Making your fixed-fee model acceptable to your state regulator**

NAPFA Advisor