JACKO LAW GROUP, PC

Michelle L. Jacko, Esq.
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PRACTICE AREAS

- Investment Adviser, Broker-Dealer, Investment Company, Hedge and Private Fund Regulatory Counsel
- Contracts, Formations, Registration and Client Disclosure Documents (including Forms ADV, PF and BD), Solicitor and Finder Arrangements and Counsel for Breakaway / Transitioning Advisors
- Mergers and Acquisitions, Exit Planning and Business Successions
- Compliance Program Reviews, Mock SEC Examinations, and Internal Control Development

Michelle L. Jacko, Esq. is the Managing Partner and CEO of Jacko Law Group, PC, which offers securities and corporate law counsel to investment advisers, broker-dealers, investment companies, hedge/private funds and financial professionals. In addition, Ms. Jacko is the Founder and CEO of Core Compliance & Legal Services, Inc. ("Core Compliance®"), a compliance consultation firm servicing the financial industry.

Ms. Jacko specializes in investment adviser, broker-dealer and fund regulatory compliance matters, internal control development, regulatory examinations, transition services, and operational risk management. Her practice is focused on the areas of regulatory exams and formal inquiries, mergers and acquisition, annual reviews, policies and procedures development, testing of compliance programs (including evaluation of internal controls and supervision), mock exams, senior client issues, cybersecurity, Regulation S-P, and much more.

As a frequent presenter at national financial industry conferences, Ms. Jacko delivers insightful and thought-provoking workshops regarding industry hot topics and rising compliance issues. She also is a frequent contributor to various industry journals.

Ms. Jacko served as the former Vice-Chair of Education of the Corporations Committee for the State Bar of California Business Law Section and is a two-time former Board member of the National Society of Compliance Professionals (NSCP).

She is the Co-Founder and a member of the Southern California Compliance Group, and also is a FINRA Arbitrator. Ms. Jacko is a member of Vistage International and actively participates in her community.

JLG and Ms. Jacko are proud to be members of the National Women Business Owners (NABWO) Corporation. Ms. Jacko was honored as a finalist for the 2019 NAWBO Bravo Awards – San Diego. She is one of San Diego's Super Lawyers® (2023-2026), is recognized as one of San Diego's Best Lawyers® for Corporate Law (2026), has been selected as a finalist for the San Diego Business Journal's (SDBJ) CEO of the Year Award (2019-2024), Women of Influence 50 over 50 (2021-2022), Women of Influence in Law (2018 -2024), SDBJ's Businesswoman of the Year (2020-2022), San Diego 500 Influential Business Leaders Award 'SD500' (2020-2022), and the prestigious 'Most Admired CEO' award for 2020. She also was selected as a finalist for San Diego Magazine's 2020–2021 Influential Women: Woman of the Year Award and by international magazine CEO Today as one of the 2019–2020 Businesswomen of the Year. She also received Acquisition International magazine's Global Excellence Awards: Most Influential Woman in Securities Law 2019–2020 – San Diego, and was selected by San Diego Metro as one of the 12 Women of Influence in San Diego.

Previously, Ms. Jacko served as Of Counsel at Shustak & Partners, PC. Prior to that, she was Vice President of Compliance and Branch Manager of the Home Office Supervision team at LPL Financial Services, Corporation (Linsco/Private Ledger). She also served as Legal Counsel of Investments and Chief Compliance Officer at First American Trust, FSB and held the position of Compliance Manager at Nicholas-Applegate Capital Management. Earlier in her career, Ms. Jacko was with PIM Financial Services, Inc., and Speiser, Krause, Madole & Mendelsohn, Jackson.

Ms. Jacko received her J.D. from St. Mary's University School of Law and B.A., International Relations, from the University of San Diego. She is admitted to the State Bar of California and United States District Court, Southern District of California. Michelle holds NSCP's Certified Securities Compliance Professional (CSCP) designation and is a member of the National Association of Women Lawyers.

EDUCATION

- J.D., St. Mary's University School of Law, 1996
- B.A., International Relations, University of San Diego, 1993
  Degree awarded Cum Laude

BAR AND COURT ADMISSIONS

- The State Bar of California
- United States District Court, Southern District of California

PROFESSIONAL AFFILIATIONS

- Member, State Bar of California, Corporation Committee Business Law Section (Former Vice Chair of Education 2016-2018)
- Member, San Diego County Bar Association, Business & Corporate Law Section (Former Advisory Board Co-Chair 2013-2014)
- Member, American Bar Association, Business Law Section
- Member, National Association of Women Lawyers
- National Society of Compliance Professionals (Former Two-Term Board Member)
- Certified Securities Compliance Specialist (sponsored by NSCP)
- Co-Founder and Member, Southern California Compliance
- Group Member, Vistage International
- FINRA Arbitrator

RECENT AWARDS

- Super Lawyers 2026, 2025, 2024, 2023
- San Diego's Best Lawyers® for Corporate Law (2026)
- Women of Influence in Law, San Diego Business Journal (2023)
- Finalist, CEO of the Year, San Diego Business Journal (2023, 2022, 2021, 2020, 2019)
- Finalist, Women of Influence in Law, San Diego Business Journal (2022, 2021)
- Top 50, Women of Influence 50 Over 50, San Diego Business Journal (2022)
- Finalist, Leaders in Law, San Diego Business Journal (2022, 2021, 2020)
- Finalist, Business Woman of the Year, San Diego Business Journal (2022, 2021, 2020, 2019, 2018)
- Finalist, Women of the Year, San Diego Magazine (2021, 2020, 2019, 2018, 2017)
- Global Excellence Awards: Most Influential Woman in Securities Law, Acquisition International Magazine (2021, 2020, 2019)
- Finalist, Business Women of the Year, CEO Today Magazine (2021, 2020, 2019)
- Finalist, SD 500, San Diego Business Journal (2021, 2020)

SPEAKING ENGAGEMENTS

- "AI Compliance," Compliance Update, Schwab Virtual Event, February 2026
- "How Small Firms Can Manage Risk and Conflicts of Interest," IAA's Investment Adviser Compliance Conference, March 2026
- "Evaluating Enforcement Risk," NSCP National Conference, October 2025
- "Key compliance updates," Raymond James EMPOWER Conference, October 2025
- "Considerations for Advisers with Retail Clients," 2025 IAA Investment Adviser Compliance Conference, March 2025
- "Spring 2025 Compliance Update," Schwab Virtual Event, February 2025
- "Compliance Best Practices & Regulatory Trends," Raymond James EMPOWER Conference, October 2024

- "Evolving Privacy Regulations," NSCP National Conference, October 2024
- "Compliance: What You Need to Know to Get Your RIA Registered and To Keep It in Compliance," InvestmentNews – goRIA MasterClass, June 2024
- "Risk Management Beyond Assessment," NSCP Interactive Compliance Labs, April 2024
- "Compliance 101," IAA Compliance Conference, March 2024
- "2024 Compliance Update," Charles Schwab Virtual Educational Event, February 2024
- "How to Comply with the Latest SEC Rules and Prepare for Year End," Schwab IMPACT, October 2023
- "RIA Best Practices for Complying with the Proposed New Cyber Rule," Jacko Law Group/Core Compliance/Xantrion, June 2023 (Webinar)
- "Compliance Best Practices & Trends," Raymond James EMPOWER, October 2023.
- "SEC Hot Topics & Examination Priorities," Red Oak User Conference, April 2023.
- "Advanced Exam Management Strategies," National Society of Compliance Professionals (NSCP) 2023 National Conference, October 2023.
- "Tactical Steps to Protect the CCO from Liability," NSCP Educational Seminar March 2023.
- "SEC Exams and the new IA Ad Rule: Compliance Guidance to Gauge if You're Ready," Regulatory Compliance Watch Webinar, March 16, 2023 (Webinar)
- "Considerations for Retail Clients, Including Senior Investors," Investment Adviser Compliance Conference, March 13, 2023.
- "Be in the Know: SEC Examination Hot Topics and Compliance Expectations for 2022," Schwab Compliance Webinar, March 31, 2022 (Webinar)
- "SEC's New IA Ad Rule," Regulatory Compliance Watch Webinar, March 22, 2021 (Webinar)

THOUGHT LEADERSHIP

- Author: "How to prepare for Amendments to Regulation S-P," NSCP Currents Newsletter, October 2024
- Author: "Regulatory Focus on Off-Channel Communications: What You Need to Know for Your Compliance Program," Charles Schwab, October 2024
- Author: "SEC Examinations for RIAs – What You Need to Know to Prepare," NSCP Currents Newsletter, October 2023
- Co-Author: "The Power of Diversity, Equity and Inclusion in Business," NSCP Currents Newsletter, February 2023
- Author: "Legal and Regulatory Considerations for Going Independent," Charles Schwab White Paper, December 2022
- Author: "How to Address Change Management," NSCP Currents, September 2022
- Author: "Meeting Current and Future Challenges of Serving Aging Clients," Charles Schwab Compliance Review Letter, February 2022
- Author: "8 Smart Compensation Practices for Wealth Management Firms," Barron's Advisor, January 2022
- Author: "Social Media in 2021 – Are Advisers Subject to the Old Rules or New Rules? And What Then?" IAA Newsletter, February 2021
- Author: "What You Need to Know About M&As and Business Transitions," Lawyer Monthly Magazine, February 2021

- Author: "Why Advisory Fees and Expenses Remain a Continued Regulatory Focus," NSCP Currents, January 2021
- Author: "How to Improve Your Compliance Program," IAA Newsletter, October 2020
- Co Author: "Considerations for 2020 and Focus on SEC Exam Priorities," NSCP Currents, April 2020