



**Steven Goldstein, Esq.**

Counsel

[steven.goldstein@jackolg.com](mailto:steven.goldstein@jackolg.com)

Tel: 619.298.2880

[LinkedIn](#)

## PRACTICE AREAS

- SEC Regulatory Counsel
- Private Fund Counsel

Mr. Goldstein provides strategic legal and compliance counsel to SEC-registered Investment Advisers, Exempt Reporting Advisers, and Private Funds with a focus on enhancing the structure and effectiveness of their compliance programs and ensuring they are well-guided in applicable laws and regulations, meet compliance requirements, and advance their business goals.

Mr. Goldstein brings over two decades of experience to his advisory role, having served as Consultant and Chief Compliance Officer (CCO) at several prominent investment firms. Since 2016, he has been providing consulting services to Investment Advisers, Exempt Reporting Advisers and Broker-Dealers through his work with Goldstein Consulting Services, LLC. From 2014 to 2016, he was the CCO of KLS Professional Advisors Group, LLC, a New York-based SEC-registered investment adviser, where he led the firm's compliance oversight.

Before that, he held the position of CCO at Yorkville Advisors, LLC, an SEC-registered investment manager overseeing various onshore and offshore hedge funds. He also served as CCO to affiliated sub-advisers registered with the UK's FCA and Hong Kong's SFC and was appointed Corporate Secretary to the firm's fund entities.

Earlier in his career, Mr. Goldstein was Director of Equity Compliance at UBS Capital Markets (formerly Charles Schwab Capital Markets), where he managed a 15-person team responsible for regulatory inquiries, litigation coordination, and trading desk surveillance. He also served as the firm's Antitrust Compliance Officer.

Mr. Goldstein's foundational experience includes legal and compliance roles at several broker-dealers where he developed a deep understanding of regulatory frameworks and operational risk management.

Mr. Goldstein earned his J.D. from Rutgers School of Law in 1996, his M.B.A. in Finance from Temple

University's Fox School of Business the same year, and his LL.M. in Taxation from Temple University Beasley School of Law in 2000.

He is admitted to the Arizona Bar.

## **EDUCATION**

- LL.M Masters in Taxation, Temple University - James E. Beasley School of Law
- J.D., Law, Rutgers Law School
- M.B.A., Finance, Fox School of Business at Temple University

## **BAR AND COURT ADMISSIONS**

- The State Bar of Arizona

