



Tina Mitchell

Managing Paralegal

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[LinkedIn](#)

PRACTICE AREAS

- Investment Adviser Registration (both state and federal)
- Preparation and Filing of Various Regulatory Documents, Including Form ADV, Form PF, Blue Sky and Section 13 Filings
- Preparation of Compliance Program Documents, including Policy and Procedures Manual, Codes of Ethics and Business Continuity Plans
- Mock Regulatory Examinations Assistance

Tina Mitchell has worked in the securities industry for over 25 years. She has extensive experience in investment adviser registration and general compliance matters and works with our counsel to assist advisory firms with applications for registration. Ms. Mitchell also supports counsel with preparation and filing of regulatory documents, such as Form ADV, Section 13 filings, blue sky, and other state notice filings. She helps with client compliance policies and procedure manuals, cybersecurity and business continuity plans, and other internal control documents. Ms. Mitchell also assists with advertising and marketing reviews, risk assessments, mock regulatory audits, and regulatory research. And she supports counsel with preparation and filings for registered investment company clientele and the 15c reporting process.

Prior to joining JLG, Ms. Mitchell was the Senior Vice President and Chief Compliance Officer for Engemann Asset Management (Engemann), a federally registered investment adviser owned by the Phoenix Companies. Engemann managed assets for registered investment companies, wrap programs, and high net worth clients. At Engemann, Ms. Mitchell was responsible for the firm's continued compliance with federal and state securities laws. She also served as the Secretary of the Phoenix Engemann Funds (part of the Phoenix Family of Funds) and compliance liaison between Engemann and the Phoenix Engemann Funds Board of Trustees for over 8 years.

Ms. Mitchell has served as a FINRA arbitrator for the past 20 years, and a President of the Southern California Compliance Group for three years.

EDUCATION

- Paralegal Certification,
Pasadena City College

PROFESSIONAL AFFILIATIONS & CERTIFICATIONS

- FINRA Arbitrator