



Jordan & Jordan Enhances CAT Offerings with Addition of Alex Raisch

New York, NY – December 10, 2019: Jordan & Jordan (J&J), a financial technology company that provides regulatory compliance, market data, and trading solutions across the securities industry, is expanding their consolidated audit trail (CAT) product and consulting offerings with the addition of Alex Raisch to the Regulatory Compliance Practice. Alex will provide subject matter expertise focused on responding to and implementing regulatory reporting change such as: CAT, Order Audit Trail Systems (OATS), Electronic Blue Sheets (EBS) and Large Option Position Reporting (LOPR).

Prior to J&J, Alex was the Head of Technology Compliance for E*TRADE Financial Corporation managing the regulatory change management initiatives for the firm. Alex was instrumental in leading the firms' CAT change management priorities from a project management, implementation and testing perspective. Alex has a strong combination of technology and business knowledge having lead equities trading, compliance technology and regulatory reporting for various financial firms.

“As a CAT Reporting Agent, we provide clients a CAT reporting solution in addition to traditional compliance consulting; Alex’s knowledge and expertise will be beneficial to both sides of our business.” said Tom Jordan, President, Jordan & Jordan. “Although many firms will utilize a vendor for their reporting, they still must have staff knowledgeable of the requirements to perform independent testing of the vendor reports for appropriate supervision. In addition, many OMS providers of CAT reporting will not handle error correction, the firms must have staff, procedures and processes to address that as well.”

“J&J’s Management Consulting and Regulatory Compliance practice focuses on strategic endeavors as well as the business and operational impacts of organizational, technology, or regulatory changes. Alex’s experience lends to our CAT strategic endeavors as we head into 2020 positioning us well to assist our clients”, said Chris Montagnino, Managing Director, Compliance Services at Jordan & Jordan.

Contact

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About Jordan & Jordan

Jordan & Jordan, a veteran owned business, is a FinTech company with domain expertise in information, processes and technologies applied to the securities industry. Keeping pace with market practice and regulatory change, J&J provides business, technology and compliance solutions to meet the challenges of accelerating regulation, evolving technology and increasing cost pressures. J&J leverages knowledge of the financial markets across three core practices: Management Consulting and Regulatory Compliance, Market Data Services, and Industry Solutions. Jordan & Jordan has offices in New York, Chicago, and London. To learn more, visit our web site at www.jandj.com.