



TINA L. MITCHELL
Senior Paralegal

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Education

Pasadena City College, Paralegal Certification

Ms. Mitchell has worked in the securities industry for 34 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. Ms. Mitchell assists with the creation of and updates to our clients' compliance policies and procedures manuals, cybersecurity and business continuity plans, and other internal control documents. She also assists with advertising and marketing reviews, risk assessments, mock regulatory audits and regulatory research. Ms. Mitchell also supports counsel with preparation and filings for registered investment company clientele and assists with 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. Ms. Mitchell 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 served as President of the Southern California Compliance Group for three years. She also is a member of the California 40’ Act Group.

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 manuals, codes of ethics and business continuity plans
- Assists with mock regulatory examinations and annual reviews for JLG clients

Thought Leadership

Legal Risk Management Tips

Post Madoff Regulatory Exams – Survival Of The Compliance Fittest
06.2010

Industry Publications

Performing Due Diligence and Oversight of Third-Party Service Providers
Wolters Kluwer : Modern Compliance Volume II, 06.2017

Editorial Advisors Corner: Risk Management Update April 2015 – Regulatory Pitfalls Regarding Fee Based Accounts
Wolters Kluwer: Practical Compliance & Risk Management For the Securities Industry, 07.2015

Industry Affiliations

FINRA Arbitrator

Member, California 40' Act Group