

Jessica (Jesy) L. LeBlanc

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Experienced compliance professional & consultant with substantial knowledge of current and changing industry regulations adept at improving and further developing a prominent culture of compliance. As an entrepreneur, keenly focused on delivering effective and efficient results for clients. Enjoys working with teams, while also excelling as a leader. Very motivated and great at keeping others motivated.

- Obtained FINRA licenses Series 7, 63, 9/10, 24, & 53, as well as Canadian Securities Commission Registered Level 1
 - Keenly focused on preventing and detecting issues
 - Inquisitive and curious, not afraid to ask questions
 - Detail oriented and well organized
 - Proactive team leader focused on coaching and supporting colleagues
 - Excellent writing skills
 - Experienced training facilitator
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Work Experience

TRADEliance, LLC: September 2022 – Present

Co-founder, Consultant and Managing Partner of TRADEliance, LLC.

- Expertise in Trading Operations and Compliance issues including, but not limited to, 15c2-12, Order Management Systems, T+1 Settlement, Trade Confirmations, Municipal Minimum Denoms, Best Execution, Fair Pricing & Reasonableness of Compensation, Rule 605 and 606, Reg NMS, Prevailing Market Price, Markup Disclosure, TRACE & RTRS Trade Reporting, Municipal Securities Underwriting, 15c2-11, Time of Trade Disclosure, Market Access, & Data Integrity
- Assisted firms with projects such as:
 - Conducting detailed mapping exercises of processes or regulations, providing clients with a roadmap to success
 - Navigating front/middle/back-office connectivity to advise clients on more effective or streamlined ways of doing business
 - Assisting clients with creating and developing surveillance & supervision processes reasonably designed to mitigate risks
 - Creating thoughtful and thorough policies and procedures for new or existing regulations tailored to a firm's business model

- Offering ongoing support through complex or operational initiatives to facilitate a successful implementation

Morgan Stanley Investment Management/Parametric Portfolio Associates: March 2020 – September 2022

Vice President, Senior Compliance Officer

- Responsible for the firm's Code of Ethics Management, Employee Personal Trading, Anti-Money Laundering/OFAC and Fixed Income Trading Compliance programs
- Worked directly with the buy side fixed income portfolio management team to provide guidance and assist with projects and initiatives as necessary.
- Managed employees in multiple locations to oversee complex projects and objectives
- Assisted in completing the firm's 206(4)-7 reviews, as well as other compliance related inquiries, exams and reviews when required.

Edward Jones April 2014 – March 2020:

Team Leader, April 2019 – March 2020: St. Louis Corporate Bond Trading Desk,

- Led a team of 7 traders, 6 Corporate Bond traders and 1 Canadian trader.
- Responsible for providing diverse inventory for the firm's 18,000+ financial advisors
- Responsible for supervising and developing the traders, including conducting a variety of supervisory reviews related to best execution and trade and position management
- Responsible for assisting in shaping and developing the vision and guiding principles for the fixed income department
- Responsible for inspiring and ensuring a robust culture of compliance and ensuring that all initiatives are consistent with industry rules and regulations.

Senior Compliance Manager, Capital Markets/Operations Compliance – Fixed Income Trading Support, April 2014 - May 2019

- Partnered with the fixed income trading area to provide advice and guidance on a dynamic compliance and regulatory environment.
- Conducted in person training on regulatory initiatives and firm policies through regular staff meeting attendance, and leading discussions revolving around various compliance topics.
- Conducted recurring reviews of the processes, practices and policies in the fixed income trading area in order to prevent and detect potential or actual problems, or gaps in policies or procedures that need to be updated to reflect the changing regulatory environment.
- Performed oversight reviews of the supervision conducted by the fixed income trading area leaders to include periodic reviews of existing WSPs, general surveillance of trading area communications and other compliance oversight designed to prevent and detect potential or actual problems.
- Aided in the response to regulatory inquiries and examination findings related to the fixed income trading area to include investigating process gaps and negative

findings discovered through regulatory inquiries and identifying measures or remediation for said gaps/findings

- Assisted the Fixed Income Trading area with the following projects:
 - Implementation of the firm's in-house prevailing market price solution required for markup disclosure compliance,
 - Implementation of the municipal best execution rule, to include broad enhancements to the firm's fixed income best execution program,
 - Reviewed and facilitated the firm's participation in the SEC's Municipal Continuing Disclosure Cooperation Initiative, and the enhancements to the firm's Continuing Disclosure process informed by participation in the initiative,
 - Implemented front end and desk level controls related to the firm's compliance with the Material Information Disclosure Rules for municipal securities,
 - Completed testing and verification as well as a gap analysis of all of the Fixed Income area's written supervisory procedures (WSPs), resulting in the implementation of a number of changes to those WSPs.
 - Led two rotational development program projects, one related to the firm fixed income trade reporting process and ensuring the firm is compliant with those rules and regulations, and a second related to the data governance structure of the trading floor,
 - Worked extensively on reviewing and improving the firm's trade confirmations for fixed income securities.

City Securities: March 2011-March 2014

Compliance Advisor, July 2011 – March 2014

- Daily review and approval of trades, correspondence, sales literature, advertising, and other required documentation.
- Maintenance and upkeep of the Written Supervisory Procedures and Investment Advisor Manual.
- Assisted in researching and writing policies and procedures.
- Participated in regular calls with the firm's underwriting counsel to discuss issues and questions arising from the investment banking business and continuing disclosure obligations.
- Responsible for completing all branch reviews on a yearly basis and writing branch review report for use by the senior vice presidents, CEO, and operating council.
- Responsible of a variety of internal audit tasks arising from a risk based needs assessment of pertinent rules and regulations.
- Fostered relationships between Financial Advisors and Compliance by travelling to branches quarterly in order to train and keep employees abreast of changing rules and policies.
- Facilitated completion of adherence to rule 408(b)(2) for retirement plan fee disclosure reporting by partnering with Sales Management and Financial Advisors to gather and distribute fee disclosure notices to all retirement plans held by firm clients.

- Crafted and assisted in the implementation of firm Social Media policy to include research and development of a method to monitor and retain Social Media for firm employees, as well as designing and writing the firm policy and training for this initiative.
- Routinely initiated random spot checks of firm business and communications to look for and identify patterns that may help uncover larger problems.

Registered Financial Associate with the Private Client Group, March 2011-June 2011

- Assisted Financial Advisors with day-to-day tasks o Managed schedules of two Financial Advisors, in addition to completing requests of clients.

Charles Schwab: September 2006-March 2011

Equity and Options Trader serving Schwab's high net worth and active trader clients.

- Responsible a number of efforts on the team, including:
 - Home grown team projects designed to help raise engagement levels within the team.
 - Created training on various compliance topics for team brokers.
- Led several training classes for new and developing traders; provided coaching and feedback to individuals, as well as facilitating classroom learning.
- Completed firm training programs on Technical Analysis, chart reading, and Financial analysis.
- Participated in several professional speaking classes and the firm's leadership symposia.
- Participated in a project with the Client Advocacy Team – project entailed working solely on escalations for challenging clients

Education

- MBA Program, Graduated December 2013; Indiana University-Purdue University, Indianapolis, IN
 - Major in Finance
 - Participated in a number of specialized projects:
 - Completed an independent study on Shadow Banking and the regulatory needs created by it, which included extensive research on Dodd-Frank and various other regulatory initiatives
 - Provided consulting services for a start-up firm in South Africa, assisting the firm with improving and expanding its business.
- Bachelor of Science in Apparel Merchandising, Graduated May 2006; Indiana University, Bloomington, IN.
 - Minors in Business and Religious Studies

Other Activities

- Participant on the 2019 MSRB Compliance Advisory Group
- Co-created a Networking group of St. Louis Trading, Regulation and Operations professionals – several events held, including a large scale industry roundtable drawing participation from several firms outside the St. Louis area who traveled to participate
- Co-leader of the Edward Jones Compliance Division Women's Group Events Committee – responsible for organizing, planning and implementing development related events for associates in the Compliance Division.
- Currently the New Member Coordinator for Cub Scouts Pack 712 in Maple Valley, WA.