

# Griffin Financial Group

A STEVENS & LEE COMPANY



## Scott I. Noah

Chief Compliance Officer

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Scott has more than three decades of experience advising executive leaders, boards of directors and institutional decision makers in the financial services industry on a wide range of legal, regulatory and compliance issues. His insights are backed by a depth of knowledge regarding SEC, FINRA, Federal Reserve and state authority regulations, particularly as they relate to investment and wealth management products and advisory programs.

As a strategic ally to clients, Scott has led efforts to create and implement enterprise-wide compliance programs that encompass policies, technology optimization, compliance tool development and internal review procedures. As General Counsel to both wealth management and banking institutions, he has also directed these entities' legal programs, advising on matters of particular focus in the financial services industry and directing the legal programs of multi-faceted financial institutions. He also helps conduct risk assessment and audit initiatives, and provides legal guidance when litigation occurs.

Prior to joining Griffin Financial Group, Scott was General Counsel and Chief Compliance Officer of Fieldpoint Private Bank & Trust, a multi-faceted institution comprised of a private bank, broker-dealer and registered investment adviser serving high net worth clients. In this role as both the legal advisor and key business partner, Scott was instrumental in working with management to facilitate the synergies between wealth management and banking and balancing the broad range of regulatory requirements in both arenas, developing the organization-wide compliance program, and leading all aspects of the firm's legal and regulatory efforts. Previously, Scott held senior legal and compliance roles at various institutions, including serving as Head of Legal for UBS' Wealth Management Americas International division, General Counsel and Chief Compliance Officer at Gilder, Gagnon & Howe, and Chief Compliance Officer at Park Avenue Securities (a division of Guardian Life Insurance.) Earlier in his career, Scott held senior positions at the New York and American Stock Exchanges.

## Affiliations

- National Society of Compliance Professionals
- Securities Industry and Financial Markets Association (SIFMA)

## Recognition

Scott is a recipient of the 2018 Drinker Biddle First Chair Top General Counsel award, which recognizes in-house counsel who have made significant contributions to the legal community.

## Education

Fordham University School of Law, J.D., Urban Law Journal

Fordham University Graduate School of Liberal Arts, M.A.

City University of New York, cum laude, B.A.

## Bar Admissions

New York

## FINRA Licenses

Series 7 (General Securities Representative)

Series 14 (Compliance Officer)

Series 24 (General Securities Principal)

