

# Compliance Ally

Hardin Compliance Consulting LLC offers hands-on, customized regulatory compliance solutions that mitigate risks and ease minds.



**“The mission of our company is simple: to help our clients win the regulatory risk battle every time,”**

says **Matthew S. Hardin, president and CEO** of Hardin Compliance Consulting LLC. Hardin’s Pittsburgh area-based company works with 130 companies—SEC registrants such as investment advisers, broker-dealers, and mutual funds—throughout the U.S. and Europe.

The firm’s consultants include former in-house securities, attorneys, senior compliance managers, compliance professionals, and senior audit professionals from prominent financial institutions. “Compliance can be mind-bendingly complex, but we live and breathe these complexities every day. We’re here to make an onerous task more manageable so our clients can focus on what they do best,” says Hardin.

## A Path to Growth

After earning a law degree from Pepperdine University, followed by a Master of Laws in federal securities regulation from Georgetown University Law Center, Hardin went to work as an enforcement attorney for the U.S. Securities and Exchange Commission (SEC), then deepened his skills as an in-house corporate lawyer for banks and mutual funds. In 2004, the SEC mandated that investment advisers have their own chief



David L. Rishel  
Partner and COO



Lisa M. Giovannelli  
Partner and CAO



Jaqueline M. Hummel, Esq.  
Partner

compliance officers (CCOs) to oversee ever-increasing industry regulations. But there was a problem: there weren’t enough qualified officers in the country. Hardin saw an opportunity. “In 2006, I started this company with just a cellphone, a laptop, and my reputation,” says Hardin. “We have grown exponentially since then.”

The firm’s international client base ranges from startups to those with over \$1 billion in assets under management. These companies could hire their own CCO, but there’s a good reason they often don’t, says Hardin. “A CCO is a C-suite position, and that’s an expensive hire,” he explains. “For the cost of a good administrative

person, my company can handle virtually every aspect of compliance work for a small to midsize firm.” When meeting with a new client, Hardin and his team gain a holistic understanding of the company’s structure and operations, identifying compliance gaps that might lead to audits and investigations. They then set up a bespoke compliance program, analyzing policies and procedures, filling in gaps, and making powerful recommendations to minimize regulatory risk. “We become, in effect, each client’s CCO at a fraction of the cost,” he adds.

## A Tech Bonus

Clients that partner with Hardin Compliance Consulting take advantage of the firm’s pioneering program, Compliance Navigator®, a secure, redundant, web-based compliance system developed in collaboration with BasisCode Compliance. The program enables comprehensive tracking, performing, and documenting of more than 200 critically important compliance tasks. It provides calendar-based reminders, checklists, and alerts to make sure clients complete testing and monitoring accurately and on time. The system securely archives testing documentation and provides a complete audit trail of performed tests.

“I’m proud to have built a truly stellar team,” says Hardin. “In addition to my incredible partners, Lisa M. Giovannelli, David L. Rishel, and Jaqueline M. Hummel, everyone on my team is well-experienced, diligent, and committed to this important work. Our vision is clear: to be nationally recognized as the securities regulatory consultant of choice by providing excellent, leading-edge service in everything we do.”



**HARDIN  
COMPLIANCE  
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