



Jeff Chapman, (Non-Attorney)

Executive Vice President, Dinsmore Compliance Services
jeff.chapman@dinsmorecomplianceservices.com

Cincinnati, OH
Tel: (513) 977-8647

An experienced investment industry senior executive with more than 30 years of experience leading fixed income, foreign exchange, commodities, retail brokerage and interest rate management businesses, Jeff has a proven track record of building and growing profitable businesses from inception to maturity.

His participation in national trade organizations led to involvement with senior policy makers and regulators, where he formed valuable relationships.

Previously, Jeff served as president and chief operating officer of a firm created to facilitate investments in operating businesses and provide consulting services within the investment industry. Also, he was the executive vice president and executive managing director of a national bank where he developed, implemented and oversaw the strategy for the bank's capital markets. He also developed a regional public finance department. His professional licenses include Series 7, 24, 52 and 53.

Jeff is a founding member of the Board of Trustees Bond Dealers of America, a member of the Board of Trustees for ABASA, Stepping Stones Center and a former member of the Board of Trustees of Dan Beard Council BSA.

He is a graduate of The Ohio State University and the University of Dayton and served as an adjunct faculty member of Cleveland State University and Franklin University.

Services

- Dinsmore Compliance Services

Publications

December 6, 2021

Division of Examinations Observations: Investment Advisers' Fee Calculations

December 6, 2021

Observations from Examinations of Advisers who Provide Electronic Investment Advice

October 27, 2021

Update Regarding the Department of Labor Fiduciary Rule

August 25, 2021

Observations from Examinations of Investment Advisers Managing Client Accounts That Participate in Wrap Fee Programs

August 25, 2021

Observations Regarding Fixed-Income Principal and Cross Trades by Investment Advisers from an Examination Initiative

July 27, 2021

Best Practices in Share Class Reviews

October 16, 2020

SEC Issues Additional Form CRS Guidance