

JERVIS B. HOUGH

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EXECUTIVE SUMMARY

Established financial services executive with 20+ years of experience optimizing broker-dealer infrastructures, integrating business processes, and driving enterprise growth across capital markets. Accomplished C-Level Executive highly experienced in managing teams, enhancing operational efficiency, and aligning financial strategy with institutional goals. Combines deep experience in business development, client engagement, and transaction structuring with strong compliance acumen, having led regulatory frameworks for national investment firms. Recognized for creating scalable systems that improve performance, reduce risk, and support market expansion.

EXECUTIVE SKILLS & EXPERTISE

Regulatory Governance	Enterprise Risk Mitigation	Operational Leadership
Capital Markets Strategy	Surveillance & Supervision Systems	Strategic Risk Oversight
SEC Reporting Familiarity	FINRA/SEC Compliance	Board of Directors
Shareholder Engagement	Investor Relations	Non-Profit Boards
Employee Recruitment	Municipal Finance Engagement	Cross Functional Execution
New Market Development	Digital Innovation	Performance Management
Trade Reporting Protocols	Brand Activation	IPOs/Primary Markets

EXECUTIVE ACCOMPLISHMENTS

- Architected and executed high-impact capital markets strategies across municipal, corporate, equity, and debt instruments to expand market share and drive firm-wide P&L.
- Provided decisive operational leadership across underwriting, sales, and trading functions to drive efficiency, optimize deal flow, and maximize revenue capture.
- Leveraged deep product expertise in securities and municipal finance to identify unique revenue opportunities and structure profitable underwriting and trading solutions.
- Governance, Risk & Compliance Oversight Strategic Risk Oversight: Provided strategic risk oversight for all revenue-generating activities, balancing aggressive growth targets with prudent risk management frameworks to protect the firm's capital and reputation.
- Aligned all revenue strategies with complex regulatory frameworks (FINRA, SEC, MSRB) to ensure sustainable, compliant growth and safeguard the firm's license to operate.
- Integrated enterprise risk mitigation directly into revenue forecasting and capital allocation strategies to protect profitability and ensure market stability.
- Managed the integration of robust AML programs within client onboarding and trading workflows to secure revenue channels against financial crime risks.
- Championed the adoption of technology-enabled compliance platforms to streamline revenue-generating workflows and embed controls into the sales and trading lifecycle.
- Interfaced directly with the Board of Directors and its committees (Audit, Ethics) to provide transparent oversight of revenue operations and reinforce a culture of integrity.

EXECUTIVE EXPERIENCE

Chief Compliance Officer / Chief Operating Officer
Blaylock Van, LLC — Atlanta & New York

2018–Present

- Direct the firm's national compliance program, surveillance, and trade oversight for municipal and corporate underwriting, as well as sales and trading.
- Architected and executed operational modernization across all revenue functions, leveraging digital tools and strategic process redesign to enhance efficiency and market differentiation.
- Served concurrently as COO and CCO, maintaining direct responsibility for originating municipal underwriting mandates and servicing issuer relationships across South Carolina, North Carolina, Florida, Georgia, and Alabama.
- Lead public-sector finance officers through transaction structuring, disclosures, and capital planning.
- Execute firm-wide modernization of supervisory systems; design exception reporting aligned to applicable SEC and FINRA Rules as well as MSRB G-series rules.
- Ensured operational excellence in trade reporting to support high-volume trading and underwriting settlement, minimizing operational risk and ensuring data integrity.
- Contributed to strong corporate governance as a senior executive, ensuring that all revenue strategies aligned with the firm's ethical standards and long-term strategic objectives.

Consultant

2006–Present

Founder / Managing Member

Taurus Compliance Consulting, LLC — Atlanta, GA

- Serve as fractional CCO/AML Officer for broker-dealers during high-risk events or startup onboarding.
- Consult on FINRA NMA/NMR filings, operational policy design, and technology integration for small to midsize financial firms.
- Engaged by regional and multinational firms to assess and enhance their supervisory controls, implementing tailored surveillance solutions to strengthen compliance infrastructure.
- Delivered comprehensive branch audit and deficiency remediation services, designing corrective action plans and updating policies to address regulatory findings across all clients firm tiers.

Chief Compliance Officer

2014–2017

IFS Securities, Inc. & IFS Advisory, Inc. — Atlanta, GA

- Provided enterprise-wide risk oversight for all revenue-generating activities, embedding regulatory safeguards into business expansion initiatives to protect capital and ensure sustainable growth.
- Aligned firm-wide revenue strategies with evolving FINRA, SEC, and MSRB requirements to preserve regulatory integrity and protect the firm's license to operate during a period of accelerated expansion.
- Led the successful submission and approval of a Continuing Membership Application (CMA), enabling the firm to launch a formal equity research function and broaden its service offerings.
- Supported the firm's growth from approximately 75 to over 160 registered representatives by advising on the recruitment and onboarding of both retail advisors and public finance investment bankers.
- Partnered with executive leadership to integrate new lines of business, including the structured rollout of a hedge fund platform, ensuring alignment with regulatory obligations and internal risk controls.
- Directed compliance programs across broker-dealer and RIA platforms, including underwriting, research, retail advisory, and alternative investment activities.
- Managed compliance for both the broker-dealer and RIA platforms, including underwriting, research, and retail advisory services.

Senior Compliance Examiner / AVP Surveillance Officer
Merrill Lynch (BofA Investment Services) — Charlotte, NC

2004–2006

- Directed risk-based surveillance for national brokerage operations, focusing on complex product flows and emerging regulatory risks.
- Owned pre-launch compliance evaluation for new products and business initiatives.

Compliance Examiner
FINRA (NASD), District 7 — Atlanta, GA

2001–2003

- Conducted full-scope audits of 40+ member firms; authored deficiency reports and briefed executive stakeholders.
- Led investigations into reporting violations under TRACE, RTRS, and ACT protocols.

EDUCATION

Clemson University

M.S. in Applied Economics, Finance & Real Estate Concentration

B.S. in Economics, Law Option – Dean's List

LICENSES & CERTIFICATIONS

Securities Industry Essentials Examination (SIE)

Series 7, 14, 24, 52, 53, 63, 79, 99

Certified Securities Compliance Professional® (NSCP)

BOARD AFFILIATIONS & HONORS

Current:

- The NAAIA Foundation – Secretary
- National Financial Educators, State Advisory Board (Georgia) – Member

Past:

- FINRA Industry Diversity Advisory Committee (IDAC)
- MSRB Compliance Advisory Group (CAG)
- Association of Certified Fraud Examiners
- NextPlat Corp (NASDAQ:NXPL) – Former Board Director (until April 23, 2025); participated in Audit, Governance, Compensation, and Nominating committees for the NASDAQ-listed global e-commerce & healthcare platform
- Progressive Care Inc. (NASDAQ: RXMD) – Former Board Member; served during period of operational expansion; board approved business combination and partnerships with NextPlat