

# The New Chief Compliance Officer Theo Basis, at Vanderbilt Financial Group

*Vanderbilt Financial Group is proud to announce that Theo Basis has joined the firm as the Chief Compliance Officer.*

WOODBURY, NEW YORK, USA, April 7, 2021 /EINPresswire.com/ -- Vanderbilt Financial Group is proud to announce that Theo Basis has joined the firm as Chief Compliance Officer. Theo is a dynamic Compliance and regulatory professional with extensive leadership experience in all facets of broker-dealer, investment advisory, insurance, and investment banking compliance. He has also served in many Compliance roles over the duration of his 30 years of experience.

Theo's career includes five years as a Senior Compliance Examiner with FINRA Regulation, District #10, N.Y. His adept ability to gauge regulatory risks and formulate effective solutions have resulted in a highly successful career working at small, medium, large, and mega organizations. Some of the premier organizations he served as CCO, Director, and/or a Senior Manager capacity include AXA Equitable; Prudential; Principal Financial Group; TD Wealth Management; Signature Bank/Securities; and, W.J. Nolan & Co. (a NYSE member). Theo is an expert in the application of SEC, FINRA, and MSRB regulatory rules and interpretations. He is also respected as an accomplished regulatory Compliance leader, trusted advisor, and supervisory management support confidante.



Vanderbilt Financial Group Logo

Theo maintains registrations and licenses in the following Series Examinations 7, 8, 9, 10, 14, 24,

53, 63, 65, and, 99. He also has been a Certified Anti-Money Laundering Specialist – CAMS (since 2007).

"The unique mix of VFG's investment philosophy, the entrepreneurial nature of the firm's Advisors, and the congenial, familial support of Senior Management and the home office staff is a highly desirable combination. VFG offers a refreshing and exciting new career horizon. I am passionate about what we do here and look forward to our future". - Theo Basis, Chief Compliance Officer

"We felt that Theo's extensive experience is instrumental in maintaining our culture's core value of GRITT within the compliance department. Vanderbilt has seen record-breaking growth for the past few years and we are grateful to have that continue in 2021. We are excited to have Theo as CCO for our growing team!" – Heidi Distanto, CEO of VFG

About Vanderbilt Financial Group:

Vanderbilt Financial Group is an investment firm disrupting traditional finance by focusing on socially and environmentally responsible, ethical, and impactful investments. Vanderbilt is known as "The Sustainable Broker-Dealer" and RIA for its commitment to providing financial advisors and their clients with access to values-aligned investments. Headquartered in a LEED-certified Platinum building, Vanderbilt's commitment to changing the world begins at home in our office and within our culture. Under the leadership of Chairman and Founder, Stephen Distanto, Vanderbilt's culture has garnered multiple awards and was most recently named "Best Places to Work on Long Island" for the third year in a row, in 2020.

For more information on Vanderbilt Financial Group, please visit [www.joinvanderbilt.com](http://www.joinvanderbilt.com).

Kristine Provetto  
Vanderbilt Financial Group  
+1 631-389-3668  
[email us here](#)

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