



# CEO'S CORNER

▶ A steady view on what matters most.

## PAUL KRSEK

Chief Executive Officer

Paul@5TWealth.com | www.5TWealth.com



## Hien Scozzafava Recognized for Excellence as our Chief Compliance Officer

June 10, 2026



We are extremely proud to inform you that Hien Scozzafava has been named to a list of “Top CCO’s to Watch” by the regulatory compliance firm Comply. They provide regulatory guidance to over 5600 client firms worldwide. Approximately 4000 of their clients are Registered Investment Advisors (like 5T). The remainder includes investment banks, private equity firms, hedge funds and broker dealers. Among Comply’s network of more than 5,600 client firms, only 11 Chief Compliance Officers were recognized on the 2026 Leaders to Watch list.

“The role of the Chief Compliance Officer has never been more critical or complex. From evolving state, SEC, FINRA, and FCA priorities along with the increase in AI governance, predictions markets monitoring, and cybersecurity oversight, today’s compliance leaders need to adapt and lead with confidence. That’s why Comply created the *Top CCOs to Watch* awards list: to recognize the compliance professionals who are not only keeping pace with regulatory change but actively shaping what modern compliance leadership looks like across financial services. These individuals were selected for their strategic influence, regulatory expertise, and demonstrated leadership in building and strengthening compliance programs within their firms.

This year’s honorees reflect a broader evolution happening across the industry. Compliance can no longer be viewed as a back-office function – it has become a critical

driver of operational resilience, investor trust, and long-term growth. The leaders recognized here are helping their firms navigate complexity with clarity, building cultures of accountability while preparing their organizations for what comes next.

Comply is proud to recognize the 2026 *Top CCOs to Watch* honorees for their leadership, vision, and continued impact on the future of compliance.”

Clients of 5T Wealth should take great pride and comfort in this announcement. Hien is not only our CCO, but also your CCO. We are delighted that she’s received this recognition. CCO’s often labor in obscurity while other members of the team receive the accolades. Hien has been with 5T Wealth for over 16 years. She was recognized by Paul and Meghan for her dedication and excellence in 2017 when she was invited to become a shareholder. Along with Chris Roth, we are proud to call her “Partner”.

All the best,



Paul Krsek  
CEO  
**5T Wealth, LLC**  
Main (707) 224-1340  
Cell (707) 486-7333  
Paul@5twealth.com

**5T Wealth, LLC**  
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