Oxford Harriman | Private Wealth Management

Monica Coles

President & Chief Compliance Officer

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Monica Coles serves as President and Chief Compliance Officer of Oxford Harriman Private Wealth Management. As a member of the firm's executive leadership team, she is responsible for overseeing the organization's compliance framework, supervisory systems, operational infrastructure, and risk management programs, helping ensure that Oxford Harriman maintains the highest standards of fiduciary excellence, regulatory integrity, and client service.

With more than two decades of experience in the financial services industry, Monica has built a distinguished career spanning banking, wealth management, broker-dealers, registered investment advisers, and large wirehouse organizations. Her professional background includes senior leadership positions in operations, supervision, compliance, and regulatory oversight, providing her with a comprehensive understanding of the operational and compliance challenges facing today's advisory firms.

Throughout her career, Monica has served in a variety of leadership roles, including Chief Compliance Officer, Director of Compliance, Head of Supervision, Home Office Registered Principal, Complex Service Manager, and Senior Compliance Manager. She has worked with organizations ranging from regional financial institutions and independent broker-dealers to nationally recognized firms, developing expertise in regulatory supervision, advisor oversight, operational controls, and enterprise risk management.

At Oxford Harriman, Monica plays a critical role in shaping the firm's governance structure, compliance culture, and long-term strategic initiatives. She is a strong advocate for building scalable operational processes and leveraging technology to improve efficiency, strengthen oversight, and enhance the advisor and client experience. Her practical, solutions-oriented leadership style helps balance regulatory requirements with the entrepreneurial spirit that defines independent wealth management.

Monica holds numerous industry licenses and registrations, including the FINRA Series 4, 7, 9, 10, 24, 52, 53, 63, and 65, reflecting her extensive expertise across securities supervision, compliance, investment advisory services, and municipal securities.

Beyond her professional responsibilities, Monica is actively involved in her community and has served in leadership roles supporting youth advocacy initiatives. She enjoys traveling, attending Formula One races, and spending time with her family.

Monica resides in the Syracuse, New York area.