



SECURITIES EXPERT WITNESS

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Summary

Over 40 years of experience in the securities industry including retail sales, operations/clearing, branch office supervision and management, retail sales management and broker dealer enterprise governance. Articulate with in depth knowledge of securities clearance and trade processing. Extensive experience with regulatory oversight through years of industry service on the regional and national committee level with NASAA, and NASD/FINRA Board of Governors.

Licenses and Certifications (past and current)

Series 7	General Securities Agent
Series 24	General Securities Principal
Series 27	Financial and Operations Principal
Series 4	Registered Options Principal
Series 8	NYSE B.O.M.
Series 63	Uniform States Registration
MSRB	Principal
	Registered Options Principal
	Certified Financial Planner (CFP)

Employment History

- 2014 – Present** **Capital Investment Group**
Consultant to President on strategic issues regarding retail enterprise
- 2001 – 2014** **President, Sterne Agee Clearing, Inc.**
Vice Chairman Board of Directors
Boca Raton, Florida
- Provide execution and clearing services for Introducing Broker Dealers, Prime Brokerage as well as Foreign Registrants. Developed processes, procedures and supervisory systems for the clearing enterprise.
- 1999 – 2001** **Executive Vice President, Member Executive Committee,**
Fiserv Correspondent Services, Inc.
Boca Raton, Florida
- Provide execution and clearing services for Introducing Broker Dealers, Prime Brokerage as well as Foreign Registrants.
- 1983-2001** **Executive Vice President, Board of Directors**
JW Genesis Financial Corp., Inc.
Executive Vice President, Chief Operations Officer
JW Genesis Clearing Corp., Inc.
- Vertically integrated full service broker dealer. Provide execution and Clearing services for Introducing Broker Dealers, Prime Brokerage, Commercial Bank brokerage activities and Non-NASD Securities Dealers. Developed processes and procedures covering all facets of the clearing activities for over 100 introducing broker dealers.
- 1980-1983** **Senior Vice President, Principal, and Stockholder**
Allen & Company of Florida
Boca Raton, Florida
- 1973-1980** **Office Manager and Area Vice President**
Dean Witter Reynolds
Boca Raton, Florida

Professional Designations

Chairman FINRA Regulatory Policy Committee of Board of Governors (2014 - 2015)
Member FINRA Board of Governors (2006 – July 2015)
Chairman, FINRA National Adjudicatory Council (2007-2008)
FINRA National Adjudicatory Council (2005-2008)
Member, FINRA Financial Responsibility Committee (current)
Member, FINRA Uniform Practice Committee (current)
Board Member, Securities Dealers Risk Purchasing Group, Inc. (1998)
Securities Industry Association Clearing Firms Committee (current)(Chairman 1996)
Member, NASD National Membership Committee (1996)
Chairman, NASD District 7 Committee (1995)
Member, NASD Board of Governors Advisory Council (1995)
President, Board of Governors, Florida Securities Dealers Association (1995)
Chairman, Securities Industry Association Membership Committee (1994)
Charter Member, Gold Coast Financial Planners Association
Associate Member, Independent Bankers of America
NASD District 7 Committee (1992-1995)
Member, Florida Council on Economic Education

Military Service

1966-1969 US Army Signal Corps, attaining the rank of Captain.
Stationed at the Pentagon, Washington, DC, and Karlsruhe, Germany.

Education

Graduate School	Florida Atlantic University, Boca Raton, Florida (did not degree)
Undergraduate BS Economics	Florida Southern College Lakeland, Florida