



## **SECURITIES EXPERT WITNESS**

**W. Dennis Ferguson**

**561-373-3374**

**mrsalclearing@gmail.com**

**OVER 40 YEARS OF EXPERIENCE IN THE SECURITIES INDUSTRY INCLUDING RETAIL SALES, OPERATIONS/CLEARING, BRANCH OFFICE SUPERVISION AND MANAGEMENT, REGIONAL SALES MANAGEMENT AND BROKER DEALER ENTERPRISE GOVERNANCE. ARTICULATE WITH INDEPTH 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**

**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
Undergraduate	Florida Southern College
BS Economics	Lakeland, Florida