

Sander J. Ressler

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Consultant and Expert Witness ~ Financial Services

Career Overview

Your Securities Consultants, LLC, Delray Beach, Florida | June 2011 - Present

Managing Partner

- ❖ Independent Consultant pursuant to FINRA AWC settlements with broker/dealers, conducting independent investigations for broker/dealers on suspected fraud and sales practice abuses.
- ❖ Expert witness in more than 140 arbitrations and 20 mediations on broker/dealer issues including suitability, risk management, supervision, data breaches, due diligence and industry best practices.
- ❖ Performed 90+ branch office examinations for independent broker/dealers and RIAs in the last 5 years, and conducted independent Anti-Money Laundering testing, evaluation examinations and CEO certification.

EMG Capital, Inc., Miami, Florida | June 2012 - August 2014

President & Chief Compliance Officer

- ❖ Supervised all personnel (11 registered persons, 3 administrative), advertising review and approval, compliance with U.S. PATRIOT ACT, Anti-Money Laundering (KYC, SARs, etc.) and federal/state privacy regulations.
- ❖ Oversaw branch office audits and remediation, registered representative and internal employee hiring approval, licensing, Annual Compliance Meetings, outside business activity approval and reporting, personal securities transaction approval and reporting, FINRA 3130 testing and reporting.

Summit Brokerage Services, Inc., Boca Raton, Florida | November 2010 - June 2011

Executive Vice President/Chief Compliance Officer/Head of Trade Supervision/Anti-Money Laundering Officer

- ❖ Managed sales surveillance of retail and institutional transactions, compliance with various regulations and holding Annual Compliance Meetings, along with all other compliance activities.
- ❖ Created job descriptions for each compliance function and restructured department into distinct segmented areas.
- ❖ Independent broker/dealer with 325 Registered Representatives and 200 branch offices, supervising a staff of 9 and managing FINRA/SEC examinations.

Newedge USA, LLC, New York, New York | November 2008 - November 2010

Associate Director, Securities & Futures Compliance

- ❖ Held accountable for 3012/3013 Annual Compliance Report, ACT, OATS and TRACE reporting and review, Firm Element training, Annual Compliance Meetings, Quarterly SEC 17-H filings, branch office and trading desk reviews, firm response to trade related regulatory responses (SEC, FINRA, ISE, BATS, etc.), internal investigations, responses to bluesheet requests, and quarterly statistical reporting for Americas to global CCO.
- ❖ Member of the Americas Supervisory Committee.

Deloitte & Touché, New York, New York | February 2006 - August 2008

Senior Manager, Insurance & Securities Regulatory Practice

- ❖ Led consulting teams in the design and creation of corporate organization structures, integrated risk management reports, and internal governance control procedures for financial services companies.
- ❖ Worked with clients such as international financial services firms, investment banks, broker-dealers (“wirehouses” and independent firms), hedge funds, registered investment advisors, and domestic/foreign-owned insurance companies.

Multi-Financial Securities Corporation, Denver, Colorado | September 2003 - October 2005

Vice President/Chief Compliance Officer/Anti-Money Laundering Officer

- ❖ Supervised all areas of business, a staff of 9, and a department budget of approximately \$1.1MM.
- ❖ Created, implemented and maintained written supervisory procedures for compliance and operations department.
- ❖ Developed job descriptions for each compliance function, restructured compliance department into distinct segmented areas, and created a program of cross-training for all compliance personnel.
- ❖ Managed NASD audits, and state securities and insurance audits, none of which resulted in any reportable violations of securities regulations.
- ❖ Effectively consolidated Multi-Financial Securities Corporation, IFG Network Securities, Inc. and VESTAX, Inc. into one retail broker/dealer in 2004.
- ❖ The Compliance Department was voted the “Best Department” in the firm by the Registered Representatives in 2004.

AIG/American General, Houston, Texas | February 2000 - March 2003

Vice President/Chief Compliance Officer/Anti-Money Laundering Officer

- ❖ Provided direct oversight of department budget of approximately \$2MM and 28 staff.
- ❖ Created and updated firm’s variable product portfolio as a member of the Variable Product Development Steering Committee.
- ❖ Implemented a field supervision structure that enabled compliance responsibilities to be shifted from the home office to the field managers.
- ❖ Managed 3 NASD audits, 1 SEC audit and numerous state audits, none of which resulted in any reportable violations of securities regulations.
- ❖ Effectively consolidated American General Securities Incorporated and Franklin Financial Services Corporation into 1 retail broker/dealer operation.
- ❖ Recognized by senior management as an effective speaker at corporate and producer meetings.
- ❖ Presented at industry conferences.

Securities America, Inc. - An American Express Company, Miami, Florida | September 1998 - March 2000

Director of Regional Supervision, Eastern Division

- ❖ Managed a staff of 25 and department budget of approximately \$2MM while providing compliance oversight for 34 states, 680 branch offices and 800 Registered Representatives.

Additional Experience

Barber & Bronson, Incorporated (Miami, FL), Chief Compliance Officer, 2/1997 – 6/1998; Smith Barney/ The Robinson/Humphrey Company, Inc. (Atlanta, GA), Divisional Legal Associate, 10/1995 – 2/1997; Executive Securities Inc. (Sarasota, FL), Chief Compliance Officer, 3/1995 – 10/1995; JW Genesis Corp. (Boca Raton, FL), Deputy Chief Compliance Officer, 9/1992 – 3/1995; State of Florida, Division of Securities and Investor Protection (Miami, FL), Financial Examiner, 10/1988 – 9/1992

Education and Credentials

Bachelor’s Degree in Investment Finance | Florida State University, 1986
Industry Licenses Held: Series 3, 4, 7, 8, 9,14, 24, 53, 63 and 65

Industry Activities

- ❖ Featured speaker at 2012 and 2013 national meeting of the National Society of Compliance Professionals
- ❖ Featured speaker at 2016 and 2017 Public Investors Arbitration Bar Association national conference
- ❖ Member, Securities Expert Roundtable