

# Sander J. Ressler

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## Career Overview

### **Essential Edge Legal and Regulatory Services, LLC** July 2019 - Present

*President/Owner*

- ❖ Serve as an expert witness in arbitrations, mediations and regulatory hearings on broker/dealer issues including suitability, risk management, churning, supervision, data breaches, due diligence, and industry best practices.
- ❖ Act as an Independent Consultant pursuant to FINRA AWC settlements with broker/dealers, conducting independent investigations for broker/dealers on suspected fraud and sales practice abuses.

### **Essential Edge Compliance Outsourcing Services, LLC** July 2019 - Present

*President/Co-owner*

- ❖ A network of independent compliance professionals who perform several hundred branch office inspections for independent broker/dealers and RIAs each year. Additional outsourcing services include independent AML testing, evaluation examinations, and CEO certification reports.

### **Your Securities Consultants, LLC** June 2011 – June 2019

*Owner*

Predecessor consulting firm to the Essential Edge companies listed above

### **EMG Capital, Inc.** June 2012 - August 2014

*President & Chief Compliance Officer*

- ❖ Responsible for the supervision of 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 meeting, outside business activity approval and reporting, personal securities transaction approval and reporting, FINRA 3130 testing and reporting.

### **Summit Brokerage Services, Inc.** 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 business 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** 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 Meeting, 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** 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 – an ING company** 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.
- ❖ 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** 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.
- ❖ 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.

**Securities America, Inc. – an American Express Company** February 2000 - March 2003

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

**Education & Credentials**

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

**Industry Activities**

Featured speaker - 2012 and 2013 national meetings of the National Society of Compliance Professionals  
Featured speaker - 2016 and 2017 Public Investors Arbitration Bar Association annual meetings