

# Sander J. Ressler

(303) 594-8237 | sander@eefirms.com

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## **ESSENTIAL EDGE REGULATORY AND LEGAL SUPPORT SERVICES, LLC JUNE 2014 - PRESENT**

### **MANAGING DIRECTOR**

- Serves as an expert witness in arbitrations and mediations on broker/dealer issues including suitability, risk management, supervision, data breaches, due diligence, and industry best practices.
- Acts 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.
- Calculates and testifies about damages methodology in FINRA arbitrations: net out-of-pocket damages, trading losses and well-managed portfolios.

## **ESSENTIAL EDGE COMPLIANCE OUTSOURCING SERVICES, LLC - FKA YOUR SECURITIES CONSULTANTS, INC. JUNE 2011 - PRESENT**

### **MANAGING DIRECTOR**

- Company performs 1,000+ branch office examinations for independent broker/dealers and RIAs each year.
- Conducts independent AML testing, CEO certification, email and advertising reviews, and independent investigations.

## **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. Supervised a staff of 9. Managed 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, 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  
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  
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**

CHIEF COMPLIANCE OFFICER  
Miami, FL 2/1997 – 6/1998

**SMITH BARNEY / THE ROBINSON / HUMPHREY COMPANY, INC.**

DIVISIONAL LEGAL ASSOCIATE  
Atlanta, GA 10/1995 – 2/1997

**EXECUTIVE SECURITIES INC.**

CHIEF COMPLIANCE OFFICER  
Sarasota, FL 3/1995 – 10/1995

**JW GENESIS CORPORATION**

DEPUTY CHIEF COMPLIANCE OFFICER  
Boca Raton, FL 9/1992 – 3/1995

**STATE OF FLORIDA, DIVISION OF SECURITIES AND INVESTOR  
PROTECTION**

FINANCIAL EXAMINER  
Miami, FL 10/1988 – 9/1992

**EDUCATION, CREDENTIALS, AND INDUSTRY ACTIVITIES**

**FLORIDA STATE UNIVERSITY**

Bachelor’s Degree, Investment

**FINANCE INDUSTRY LICENSES HELD**

Series 3, 4, 7, 9, 10, 14, 24, 53, 63 and 65

**2016-2019 PUBLIC INVESTORS ARBITRATION BAR  
ASSOCIATION ANNUAL CONFERENCE**

Featured speaker

**2012 AND 2013 NATIONAL MEETING OF THE NATIONAL  
SOCIETY OF COMPLIANCE PROFESSIONALS**

Featured speaker

**WEALTH SOLUTIONS REPORT**

Expert Columnist, Compliance and Regulatory Affairs

**BEST 2020 INITIATIVE BY A COMPLIANCE/LAW FIRM**

Finalist  
wealthmanagement.com