

Kris A. Starkman

CONSULTANT



CAREER HIGHLIGHTS

ESSENTIAL EDGE COMPANIES

CONSULTANT

- Conduct branch exams and independent AML exams, and author reports in compliance with FINRA Rule 3130 (c).
- Perform annual 3120 testing.
- OSJ assessments for broker-dealers, and annual reviews.
- Risk assessments for RIAs under SEC rule 206(4)(7). Perform data remediation.

KRIS STARKMAN CONSULTING, LLC

OWNER

- Enhance branch exam program and migrate to new vendor.
- Effectively manage firms' FINRA and SEC exams and other regulatory inquiries.
- Organized and facilitated special investigations.

ADVISORS EXCEL, LLC , Topeka, KS

CHIEF COMPLIANCE OFFICER/AE WEALTH MANAGEMENT, LLC

- Oversaw compliance program for registered investment advisor and broker-dealer.
- Fueled development of effective compliance and surveillance programs, worked diligently to manage and maintain both.
- Replied to regulatory inquires and managed exams with timeliness and attention to detail.
- Monitored regulatory developments to determine action and communication needs.
- Coordinated risk assessment and annual testing processes, along with onboarding and licensure functions; maintained seamlessness and timeliness across both.
- Directed cross-functional projects varying in complexity and scope, including large-scale endeavors; motivated team members and kept their respective performance levels aligned with organizational goals.
- Played a key role as the firm expanded its business operations in the securities industry.

REGISTRATIONS HELD & CREDENTIALS

Series 6 – Investment Company and Variable Contracts Products Representative

Series 7 – General Securities Representative

Series 24 – General Securities Principal

SIE – Securities and Industry Essentials

Certified Regulatory Compliance Professional (CRCP)

Certified Anti-Money Laundering Specialist (CAMS)

ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA, Golden Valley, CA
CHIEF COMPLIANCE OFFICER/VICE PRESIDENT, QUESTAR CAPITAL & ASSET MANAGEMENT

- Oversaw operations for the sister company of Allianz Life Insurance Company of North America.
- Fueled development of effective compliance and surveillance programs, worked diligently to manage and maintain both.
- Managed regulatory inquiries and exams on; monitored regulatory developments to determine action and communication needs.
- Coordinated risk assessment and annual testing processes, along with onboarding and licensure functions; maintained seamless and timeliness across both.
- Directed cross-functional projects varying in complexity and scope, including large-scale endeavors; motivated team members and kept their respective performance levels aligned with organizational goals.
- Served as part of core group that finalized all wind-down work and regulatory change submissions.

AMERIPRISE FINANCIAL, Minneapolis, MN

DIRECTOR/SENIOR COMPLIANCE OFFICER/RETAIL RETIREMENT STRATEGY SOLUTIONS

- Supervised and guided regulatory processes including internal regulatory audits; also managed compliance requirement for newly-offered products and services.
- Aided in the development and maintenance of written supervisory procedures; developed and reviewed advertising content to maintain optimal levels of quality and efficacy.

REGIONAL COMPLIANCE MANAGER/GENERAL COUNSEL'S OFFICE

- Coached and mentored a team of 12 Senior Compliance Examiners located across the U.S.; guided the annual OSJ and Branch Office Exam processes for all 350 OSJs/4000 branches.
- Initiated field disciplinary action and special investigations as required.

PROCESSING GROUP SUPERVISOR/RETIREMENT SERVICES

- Administered the performance of 12 direct reports; managed quarterly tax audits and annual tax reporting.



ADDITIONAL EXPERIENCE

AMERICAN EXPRESS

Business Unit Compliance Officer

PROFESSIONAL ASSOCIATIONS

Member, Twin Cities Broker Dealers

Member, Minnesota Chapter of the Association of Certified Anti-Money Laundering Specialists (ACAMS)

EDUCATION

MANKATO STATE UNIVERSITY, MINNESOTA

B.S., Psychology