

# Robert D. Franklin

SENIOR MANAGER

## CAREER HIGHLIGHTS

### ESSENTIAL EDGE COMPANIES

#### SENIOR MANAGER

- Conduct independent AML exams and AML risk assessments.
- Perform and write 3120/3130 and RIA 206(4)7 reports.
- Update Written Supervisory Procedures.
- Perform branch exams and home office reviews.
- Advertising and/or books and records reviews.
- Conduct Reg BI audits.

### KESTRA FINANCIAL, Austin, TX

ASSISTANT VICE PRESIDENT AND AML OFFICER

DIRECTOR AND AML OFFICER

#### Anti-Money Laundering Officer

- Developed, communicated and implemented a strategic vision for the AML team.
- Delivered executive level presentations on the state of AML program.
- Partnered with internal business units to ensure the firm's strategic vision complies with regulatory expectations and AML best practices.
- Reviewed SAR filings for accuracy and completeness prior to submission to FinCEN.
- Continuously monitored Protegent alerts to ensure they are accurately identifying risk.
- Ensured AML staff are properly documenting and addressing Protegent alerts in a timely manner.

#### Branch Examinations

- Fostered an environment and culture wherein the exam process is viewed by advisors as a value-added proposition by collaborating with them to mitigate risk and resolve exam deficiencies.
- Provided direction in all aspects of the exam program to ensure compliance with regulatory requirements and firm policies and procedures.

#### Internal Testing

- Planned and conducted internal examinations to ensure internal policies and procedures are reasonably designed to comply with regulatory expectations.
- Created and presented annual 3120 and 206(4)-7 reports to the executive management team.

#### Investigations

- Supervised a team of investigators overseeing the analysis and review of referred cases.



## REGISTRATIONS HELD

Series 7 – General Securities Representative

Series 24 – General Securities Principal

Series 63 – Uniform Securities Agent

Series 66 – NASAA Uniform Combined State Law Examination

FINRA Institute at Wharton Certified Regulatory and Compliance Professional Certificate, Phase 1

## RECENT ACCOMPLISHMENTS

Successfully revamped account distribution process significantly reducing the number of fraudulent disbursements.

Oversaw compliance efforts for possible acquisitions of multiple broker dealers.

Created working group comprised of AML Officers from 13 other financial service firms to discuss fraudulent trends and possible mitigation strategies.

Implemented new AML surveillance system – Sungard's Protegent.

- Presented findings and recommendations to executive management.
- Communicated disciplinary decisions to the impacted individuals.

#### **Privacy Officer**

- Ensured the firm’s written privacy policies appropriately identified and mitigated known threat vectors.
- Responsible for incident management ensuring appropriate notifications were sent to impacted individuals.

#### **SANDERS MORRIS HARRIS, Houston, TX**

##### **DIRECTOR**

- Responsible for AML and branch exam program.
- Conducted advertising reviews, trade surveillance, and reviewed and approved outside business activities.
- Provided training and education to staff and financial advisors.
- Conducted annual 3120 testing.

#### **MOODY SECURITIES, Houston, TX**

##### **CHIEF COMPLIANCE OFFICER**

- Advised business unit leaders of regulatory risks and provided recommendations for improvement.
- Formulated detailed recommendations based on audit findings.
- Served as primary contact for all regulatory exams and requests for information.
- Reviewed and approved institutional advertising pieces.

#### **NFP SECURITIES, INC. (NKA KESTRA FINANCIAL) Austin, TX**

##### **MANAGER**

- Defined, developed, and communicated new procedures in response to FINRA, SEC, and state rule making.
- Served as AML officer.
- Provided compliance guidance to executive leadership regarding product offerings.

#### **NATIONWIDE SECURITIES, Richmond, VA**

##### **REGIONAL MANAGER**

- Conducted inspections of approximately 175 branch offices.
- Served as primary compliance contact for financial advisors.
- Assisted in implementation of new branch exam module.

#### **WILLIAMS FINANCIAL GROUP, Dallas, TX**

##### **MANAGER**

- Provided compliance supervision for 6 area branch offices.
- Conducted branch exams and advertising reviews.
- Investigated client grievances.

## **ADDITIONAL EXPERIENCE**

### **HDVEST FINANCIAL SERVICES**

#### **Manager**

- Responsible for branch exams of approximately 200 branch offices.
- Ensured exception reports were being reviewed in a timely manner.

## **RECENT ACCOMPLISHMENTS CONT.**

Responsible for the Business Continuity Plan for Kestra Investment Services, Inc.

Implemented a new branch exam software solution – RegEd.

Assisted in the firm’s implementation of Regulation Best Interest.

Established process performance metrics to measure and monitor performance.

Served on multiple Kestra committees (OBA, Disciplinary, Risk, Testing, and Conflicts of Interest).

## **EDUCATION**

### **TEXAS TECH UNIVERSITY Lubbock, TX**

Bachelor of Arts, Political Science