

# Sander J. Ressler

CO-OWNER & MANAGING DIRECTOR



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## CAREER HIGHLIGHTS

### ESSENTIAL EDGE COMPANIES

#### CO-OWNER & MANAGING DIRECTOR

- Company performs 1,200+ branch office examinations for independent broker-dealers and RIAs each year.
- Conducts independent AML testing, CEO certification, email and advertising reviews, and independent investigations.
- 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 including net out-of-pocket damages, trading losses and well-managed portfolios.

### EMG CAPITAL, INC., Miami, FL

#### 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 Meeting, outside business activity approval and reporting, personal securities transaction approval and reporting, FINRA 3130 testing and reporting.

### SUMMIT BROKERAGE SERVICES, INC., Boca Raton, FL

#### 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.
- Managed FINRA/SEC examinations for an independent broker-dealer with 325 Registered Representatives and 200 branch offices.
- Oversaw a staff of 9.
- FINRA 3130 testing and reporting.

## REGISTRATIONS HELD

Series 3 – National  
Commodities Futures

Series 4 – Options Principal

Series 7 – General Securities  
Representative

Series 9/10 – General  
Securities Sales Supervisor

Series 14 – Compliance Officer

Series 24 – General Securities  
Principal

Series 53 – Municipal  
Securities Principal

Series 63 – Uniform Securities  
Agent

Series 65 – Investment Adviser  
Representative

SIE – Securities Industry  
Essentials

## **NEWEDGE USA, LLC, New York, NY**

### **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, New York, NY**

### **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**

### **Denver, CO**

#### **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 Registered Representatives in 2004.

## **AIG/AMERICAN GENERAL, Houston, TX**

### **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.

## **ADDITIONAL EXPERIENCE**

### **BARBER & BRONSON, INCORPORATED**

Chief Compliance Officer  
Miami, FL

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

Divisional Legal Associate  
Atlanta, GA

### **EXECUTIVE SECURITIES INC.**

Chief Compliance Officer  
Sarasota, FL

### **JW GENESIS CORPORATION**

Deputy Chief Compliance Officer  
Boca Raton, FL

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

Financial Examiner  
Miami, FL

- 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, FL**

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.



## INDUSTRY ACTIVITIES

**National Society of  
Compliance Professionals  
Conference**

2023 Featured Speaker  
& Exhibitor  
2013 Speaker

**2023 FINRA Annual  
Conference**

Exhibitor

**2023 RegEd Compliance  
Alliance Conference**

Featured Speaker

**2022 ComplyConnect  
Conference** on behalf of

Wealth Solutions Report

**2022 SMARSH Conference**

Featured Speaker

**2021 – Present**

**Wealth Solutions Report**

Expert Columnist, Compliance  
and Regulatory Affairs

**Best 2020 Initiative  
by a Compliance/Law Firm**

Finalist

[wealthmanagement.com](http://wealthmanagement.com)

## COMMUNITY ENGAGEMENT

Guest Lecturer, Investment  
Rights Clinic, University of  
Miami School of Law

## EDUCATION

**FLORIDA STATE UNIVERSITY**

Bachelor's Degree,  
Investment Finance