

Aidan McNally

SENIOR COMPLIANCE ASSOCIATE

CAREER HIGHLIGHTS

ESSENTIAL EDGE COMPLIANCE OUTSOURCING SERVICES, LLC

SENIOR COMPLIANCE ASSOCIATE

In close collaboration with the Senior Vice President, support clients on a wide range of outsourced compliance engagements including but not limited to:

- Development and implement policies and procedures;
- Review electronic communications;
- Conduct internal inspections.

GRADIENT SECURITIES, LLC, Arden Hills, MN

COMPLIANCE OFFICER / OPERATIONS PRINCIPAL

- Developed and conducted training for all personnel, including Annual Compliance Meetings, regulatory and firm initiatives, Firm Element, Regulatory Element, and NASAA Model Rule IAR Continuing Education.
- Supervised outside business activity approval and reporting, personal securities transaction, approval and reporting, U4/U5 filings and amendments, and registered representative and internal employee hiring approval.
- Conducted branch audits, reviews, and remediation.
- Developed and conducted daily, monthly, quarterly, and annual exception report reviews, various trade reporting reviews, FINRA 3130 testing and reporting, DOL Retrospective reviews, and annual OSJ audits.
- Reviewed, investigated, and responded to regulatory, arbitration, and litigation audit requests and complaints.
- Assessed, analyzed and tested internal and external procedures, sales practices, supervisory systems, and business practices to identify gaps and weaknesses. Implemented policies and procedures to close recognized gaps.
- Supervised correspondence and electronic communications, including e-mail, social media, websites, advertising, and internal communications reviews.
- Oversaw and reviewed independent RIAs associated with the firm.
- Daily oversight and analysis of new business, trading activity, and customer account reviews for more than 100 registered representatives/advisors.
- Responsible for the supervision of compliance with the U.S. PATRIOT ACT, Anti-Money Laundering (KYC, SARs, etc.), and federal/state privacy regulations.
- Provided training to representatives on regulatory, corporate, and legal requirements, product offerings, and licensing issues, as well as internal processes & procedures.
- Experienced with RBC's BetaLink and Nexus Trading, retail trading desk practices, and various RIA platforms.



REGISTRATIONS HELD & CREDENTIALS

- Series 7 – General Securities Representative
- Series 24 – General Securities Principal
- Series 66 – Uniform Combined State Law
- SIE – Securities Industry Essentials

AREAS OF EXPERTISE

- Best Interest Review
- Branch Supervision and Inspections
- Customer Account Reviews
- Email and Electronic Communications Review
- Internal controls
- Regulatory Compliance
- Risk Management
- Supervision of Outside Business Activities
- Trade Surveillance

EDUCATION

CURTIS L. CARLSON SCHOOL OF MANAGEMENT

UNIVERSITY OF MINNESOTA — TWIN CITIES

Bachelor of Science in
Business, Finance