

# Mike Ament

SENIOR BRANCH EXAMINER | TEAM LEADER

## CAREER HIGHLIGHTS

### ESSENTIAL EDGE COMPLIANCE OUTSOURCING SERVICES, LLC

SENIOR BRANCH EXAMINER | TEAM LEADER

- Conduct hundreds of abbreviated and routine inspections nationally.
- Support clients on a range of additional outsourced compliance engagements, including advertising review and electronic communications review. As Team Leader, serve as the front line for questions and sharing best practices for a growing team of branch examiners.

### CAMBRIDGE INVESTMENT RESEARCH, INC.

SENIOR AUDITOR, EXTERNAL AUDIT

- Recognized by management and senior management's auditor of choice for investigations, for cause inspections, and inspections of concern. Oversaw sensitive for cause inquiries including selling away, embezzlement and other malfeasance.
- At request of management, created guides and coached team members on how to better utilize public records and data on the internet for more robust pre-work and inspection findings.
- Performed on-site inspections of financial professional offices and managed all logistics. Delivered outstanding compliance-related customer service. Exercised exceptional attention to detail to resolve issues expeditiously. Ensured adherence to internal policies and procedures.
- Communicated new rules, regulations and potential violations to management and financial professionals.

### H. BECK, Bethesda, MD

BRANCH EXAMINATIONS MANAGER

- Tapped exclusively to perform for cause and focused inspections. Oversaw sensitive inquiries such as selling away, private securities transactions, embezzlement, fraud, and other malfeasance.
- Implemented a full-time inspection schedule, in addition to supervising the department, which involved oversight of a team of 3 branch examiners.
- Reestablished a customized, firm-centric program within a compact time frame and completed all required exams with a historically smaller staff.
- Consistently sought out by OSJs and group leaders to attend meetings and address their teams for various compliance and regulatory matters.
- Identified trends resulting in the implementation of clearer advisor communications and enhanced training on firm policies.



## REGISTRATIONS HELD

- Series 6 – Investment Company and Variable Contracts Products Representative
- Series 7 – General Securities Representative
- Series 24 – General Securities Principal
- Series 63 – Uniform Securities Agent
- Series 65 – Investment Adviser Representative

## AREAS OF EXPERTISE

- Internal Investigations
- Branch Supervision and Inspections
- Email and Electronic Communications Review
- Risk Management
- Regulatory Compliance
- Steamlining Processes

## **H. BECK, Bethesda, MD**

### **FIELD SUPERVISION MANAGER**

- Sought after speaker for Regional Meetings, Firm Conferences, and Annual Compliance Meetings.
- Implemented ongoing training and guidance for advisors.
- Senior investigator in all matters, serving at the discretion of Senior Management.
- Consistently sought out by top producers and group leaders for special and ad hoc compliance matters.
- Actively liaised between regulators, the home office and firm branches to ensure that the compliance program optimized effective operations.
- Successfully recalibrated previously antagonistic internal relationships with advisors.

## **H. BECK, Bethesda, MD**

### **BRANCH OFFICE INSPECTIONS SUPERVISOR**

- Oversaw team of 4 examiners responsible for the firm's Branch Office Inspection program.
- Acted as onsite liaison during regulatory visits to firm branches.
- Worked directly with the CCO to develop a proactive strategy to address regulatory focal points.
- Oversaw the allocation and review of travel expenses for the department's 440 inspections.
- Consistently sought out by senior management for special initiatives that required investigatory expertise, analysis, and grit to achieve a resolution.

## **H. BECK, Bethesda, MD**

### **FIELD OFFICE BRANCH EXAMINER**

- Key player in the development of a branch office inspection program for 300 unique branches a year.
- Conducted scheduled and unannounced branch office inspections to ensure firm sales offices are complying with FINRA and SEC requirements.
- Developed techniques to uncover potential field issues that were previously undetected.
- Demonstrated deep proficiency in utilizing Internet tools to assist and maximize the inspection process.



## **EDUCATION**

### **UNIVERSITY OF MARYLAND — COLLEGE PARK, MD**

Bachelor of Science, Finance