

# Rick Resnik

## BRANCH EXAM MANAGER

### CAREER HIGHLIGHTS

#### ESSENTIAL EDGE COMPLIANCE OUTSOURCING SERVICES, LLC

##### BRANCH EXAM MANAGER

- Leads teams of branch examiners in conducting remote and onsite branch inspections for multiple broker-dealers.
- Liaises with clients on their branch inspection process.
- Oversees branch inspection process and manages related technology.

#### TRANSAMERICA CORPORATION, Harrison, NY

##### VICE PRESIDENT, HEAD OF COMPLIANCE, CHIEF COMPLIANCE OFFICER

- Served as Chief Compliance Officer for numerous entities supporting Transamerica's retirement and mutual fund businesses including broker/dealers, investment advisers, and mutual fund families.
- Managed teams of 5-25 compliance professionals responsible for developing, implementing, and maintaining compliance programs for each entity, including risk assessments, written policies and procedures, monitoring, testing, inspections, and reporting protocols tailored to prevent, detect, and correct specific compliance risks.
- Spearheaded developing and implementing initial compliance programs for Rule 206(4)-7, Rule 38a-1, and FINRA requirements including comprehensive testing and office inspection programs.
- Recommended and helped execute strategic initiative to transform customer contact center from broker/dealer to trust company structure resulting in significant expense savings and reduced regulatory exposure.
- Participated in mutual fund complexes consolidation project.
- Pioneered subadvisor compliance oversight program.
- Contributed to key strategic initiatives including corporate reorganizations, consolidations, and acquisitions.



### REGISTRATIONS HELD & CREDENTIALS

- Series 6 - Investment Company and Variable Contracts Products Representative
- Series 26 - Investment Company and Variable Contracts Products Principal
- Series 53 - Municipal Securities Principal
- Certified Employee Benefits Specialist (CEBS)
- SIE - Securities Industry Essentials

### AREAS OF EXPERTISE

- Branch Inspections
- Regulatory Compliance and Examinations
- Compliance Testing
- Internal Controls
- Risk Management

### EDUCATION

#### LEHIGH UNIVERSITY — BETHLEHEM, PA

Bachelor of Science, Finance