

Marco Fuentes

MANAGER OF RIA SERVICES

CAREER HIGHLIGHTS

ESSENTIAL EDGE COMPLIANCE OUTSOURCING SERVICES, LLC

MANAGER OF RIA SERVICES

- Lead a team of consultants in providing outsourced compliance services to RIAs nationally.
- Provide outsourced CCO services for SEC and state registered RIAs.
- Support clients with enhancing their compliance processes.
- Develop and implement policies, procedures, and compliance programs for SEC and state registered RIAs.

IFG ADVISORS, PUBLICFINANCIAL.COM, J.W. COLE ADVISORS, CENTAURUS FINANCIAL, INC, AAA, NEXT FINANCIAL

CHIEF COMPLIANCE OFFICER

- Successfully managed over 20 FINRA and SEC audits.
- Oversaw the creation of a cryptocurrency offering for www.public.com.
- Crafted the Compliance Policies for the Public.com crypto offering.
- Crafted and managed the Compliance Policies, WSPs, ADV 1A, 2A, and 2Bs.
- Built two robo-advisors, including securing SEC approval.
- Ensured that operations were in compliance with FINRA guidelines by conducting 3120 testing, annual compliance reviews, and compliance training.
- Spearheaded departmental culture and productivity standards with a focus on driving continuous business growth.
- Served as a team leader, manager, and mentor by conducting employee training to support team members' skill set growth, professional development, and career advancement while adhering to the company's vision and mission.
- Performed vendor and product due diligence.
- Assisted FINRA in developing CATS policies on fractional equity shares.
- Maintained a high level of representative and IAR satisfaction while keeping independent B/Ds compliant.
- Uncovered trends and innovations to design and implement strategic projects to improve the company performance and meet additional compliance needs.
- Utilized programming languages to create and code the first online fixed income website.
- Monitored business analytics with a continuous improvement mindset to optimize workflow and performance.
- Provided oversight of anti-money laundering (AML) and know your customer (KYC) programs and liaised with team stakeholders to monitor performance and resolve compliance issues.



REGISTRATIONS HELD & CREDENTIALS

- Series 4 - Options Principal
- Series 7 - General Securities Representative
- Series 9/10 - General Securities Sales Supervisor
- Series 24 - General Securities Principal
- Series 53 - Municipal Securities Principal
- Series 63 - Uniform Securities Agent
- Series 65: Investment Advisor Representative
- Series 99 - Operations Professional
- CA Life

AREAS OF EXPERTISE

- RIA Compliance
- Operational Management
- Data Analysis & Reporting
- Project Management
- 3120/3130 Excellence
- Procedural Development
- Cryptocurrency
- Business Development
- Regulatory Compliance

EDUCATION

CORNELL UNIVERSITY — ITHICA, NY

Bachelor of Arts, Economics