

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., Mt. Airy, MD

SENIOR AUDITOR, EXTERNAL AUDIT

- Recognized by management and senior management as 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
- SIE – Securities Industry Essentials
- Series 99TO-Operations Professional

AREAS OF EXPERTISE

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