

# Tammy McCadden

MANAGER, BRANCH EXAMS

## CAREER HIGHLIGHTS

### ESSENTIAL EDGE COMPLIANCE OUTSOURCING SERVICES, LLC

MANAGER, BRANCH EXAMS

- Conduct and supervise 200+ branch inspections, including team oversight.
- Manage client relationship to execute outsourced branch exam department to meet client expectations.

### ATRIA WEALTH SOLUTIONS (acquired NEXT Financial Group, Inc.), Houston, TX

VICE PRESIDENT, COMPLIANCE MANAGER

- Supervision of the Licensing and Registration across the enterprise.
- Supervision of 400 Branch Office Exams annually.
- Consolidation and implementation of branch examination program for the enterprise.
- Oversee processing and submission of all FINRA Forms including BD, U4, U5, NRF and BR.
- Review, approval, and maintenance of outside business activities.
- Oversee annual firm, branch, and registered person annual registration renewals.
- Oversee FINRA Regulatory Continuing Education.
- Maintenance and coordination of RegEd Xchange and AuditTrax Platform.
- Work with other members of the department during any regulatory examinations of the home office and/or Branch Offices.
- Serve as a member of the Representative Review and Sales Practice Review committees.

### NEXT FINANCIAL GROUP, INC., Houston, TX

COMPLIANCE MANAGER

- Administer FINRA Form BD and ADV filings as directed by Legal and Compliance.
- Oversee processing and submission of all FINRA Forms U4, U5, and BR.
- Oversee annual firm, branch, and registered person annual registration renewals.
- Oversee management and maintenance of ADV Part 2B Brochure Supplements for NEXT IARs.
- Oversee FINRA Regulatory Continuing Education.
- Supervision of the Licensing and Registration Specialists.
- Manage all corporate insurance licenses and oversee processing of agent insurance licensing and appointments.



## REGISTRATIONS HELD

Series 7 – General Securities Representative

Series 9/10 – General Securities Sales Supervisor

Series 24 – General Securities Principal

Series 63 – Uniform Securities Agent

Series 65 – Investment Advisor Representative

## AREAS OF EXPERTISE

- Branch Inspections
- FINRA Forms including ADV, ADV Part 2B, BD, U4, U5, NRF and BR
- Licensing and Registration
- Outside Business Activities
- RegEd Exchange and AuditTrax
- Sales Practices
- Regulatory exams
- Errors & Omissions Policies
- Corporate and agent insurance licensing

## INDUSTRY ACTIVITIES

RegEd Client Advisory Board for Audittrax, 2018-2024

- Maintenance and coordination of RegEd Exchange and AuditTrax Platform.
- Maintain schedule of 350+ Branch Office locations and manage annual assignment of Branch Examiners.
- Implementation and maintenance of Independent Branch Office Exams and branch examination module.
- Provide review, direction and sign off for examiners reporting to the supervisor.
- Work with other members of the department during any regulatory examinations of the home office or Branch Offices.
- Serve as a member of the Representative Review and Sales Practice Review committees.

#### LICENSING SUPERVISOR

- Administration of Firm Element, Annual Compliance Meeting and Annual Compliance Questionnaire.
- Administer FINRA Form BD and ADV filings as directed by Legal and Compliance.
- Oversee processing and submission of all FINRA Forms U4, U5, and BR.
- Administrator for FINRA Entitlements.
- Oversee annual firm, branch, and registered person annual registration renewals.
- Oversee management and maintenance of ADV Part 2B Brochure Supplements for NEXT IARs.
- Oversee the required FINRA Regulatory Continuing Education.
- Supervision of the Licensing and Registration Specialists including training, assignment of daily responsibilities and review of daily work.
- Prepare and maintain Registration and Licensing forms and procedures.

#### **UBS PRIVATE WEALTH MANAGEMENT, Houston, TX**

##### OPERATIONS MANAGER

- Establishing branch operations policies and procedures.
- Onboarding and training of Financial Advisors and support staff.
- Review and approval of new accounts.
- Review incoming and outgoing correspondence.
- Review and processing of disbursements and deposits, trading activity, trade errors/corrections.
- Supervision of support staff for both Houston and Dallas offices.
- Research and resolution of operational and client service issues and communicating resolution to management.
- Other responsibilities included review of monthly P&L, accounts payable and maintaining branch files to ensure compliance with Firm and regulatory policies and procedures.

#### **SMITH BARNEY/CITIGROUP (previously Legg Mason Wood Walker), Houston, TX**

##### ADMINISTRATIVE MANAGER

- Conduct branch inspections.
  - Communication and implementation of new policies and procedures.
  - Daily oversight of branch support staff, including hiring, training, development, counseling, and registration.
  - Resolve all service, administrative and operational problems while communicating status to representative and client, as needed.
  - Review and approval of new accounts.
  - Review incoming and outgoing correspondence.
  - Review and processing of disbursements and deposits, trading activity, trade errors/corrections.
  - Review of incoming and outgoing correspondence.
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