

## 2019 FINRA District Compliance Seminar With the State of Pennsylvania Speaker Biographies and Headshots

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**Bill Bell** is District Director for the FINRA Philadelphia office. In this role, he is responsible for the execution of the office's Examination and Surveillance departments as well as the overall management of the office. Prior to his promotion to Director in 2018, Mr. Bell was the Associate Director and an Exam Manager in the Philadelphia District office. Mr. Bell has also served as an examiner in the Philadelphia and Chicago offices. Mr. Bell graduated from Marist College with a BS in Business Administration and earned an MBA from Villanova University.

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**Sarah Gill** is Director of State Relations in the Office of Government Affairs at FINRA. In this role, she addresses policy matters and coordinates with the North American Securities Administrators Association and state securities regulators. Before joining FINRA in 2018, Ms. Gill was a Senior Vice President at LPL Financial, with roles including Head of Regulatory Policy and Associate General Counsel. She provided strategic advice on policy initiatives and advocated for the firm's positions on rule proposals and other policy matters. She also provided legal advice on regulatory issues, such as senior investor protection. Prior to joining LPL, Ms. Gill was an Assistant General Counsel in FINRA's Office of General Counsel, a Counsel at WilmerHale, and a law clerk for the Honorable Ricardo M. Urbina, U.S. District Judge for the District of Columbia. Ms. Gill began her legal career as an officer in the U.S. Navy J.A.G. Corps, with assignments as a military prosecutor in Pearl Harbor, legal advisor to the NCIS Hawaii Field Office, and a Special Assistant U.S. Attorney at the U.S. Attorney's Office in Honolulu. She obtained her law degree from the UCLA School of Law and her B.A. from the University of Pennsylvania.

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**Sarah D. Green** is Global Head of Financial Crimes Officer for Vanguard Group, Inc. She joined Vanguard in December, 2017 and leads compliance teams responsible for Vanguard's anti-money laundering (AML), trade surveillance, anti-bribery and corruption and sanctions programs. She worked previously as the Senior Director for AML Compliance at FINRA, where she supervised FINRA's dedicated AML examination unit and coordinated FINRA's AML enforcement cases. Ms. Green was also responsible for FINRA AML guidance and external training of financial industry professionals domestically and internationally, and she represented FINRA on the Bank Secrecy Act Advisory Group. Previously, she was the Bank Secrecy Act Specialist in the Division of Enforcement's Office of Market Intelligence (OMI) at the U.S. Securities and Exchange Commission (SEC). In this role, she oversaw the Commission's review and use of suspicious activity reports (SARs) and worked with Enforcement staff on AML matters. Prior to joining OMI, Ms. Green was a branch chief in the Office of Compliance Inspections and Examination at the SEC, managing the Commission's AML examination program for broker-dealers, including developing examination modules,

conducting training for SEC and self-regulatory organization (SRO) staff and coordinating with the SROs on all aspects of AML examination and enforcement. Prior to joining the SEC, Ms. Green was an associate attorney in the Corporate and Securities practice group at Gardner Carton & Douglas LLP. Ms. Green received her J.D. from the William and Mary School of Law and her B.A. from Hamilton College.

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**Zachary Knepper** joined the North American Securities Administrators Association (NASAA) as Deputy General Counsel in May 2016. Mr. Knepper advises NASAA and its members on federal and state regulatory issues, prepares NASAA *amicus curiae* briefs and regulatory comment letters, and speaks at training events and conferences. Prior to joining NASAA, Mr. Knepper worked for 12 years as an attorney at two law firms in Washington, DC, where his practice focused on defending securities enforcement matters and advising registered investment advisers and broker-dealers. Mr. Knepper earned his J.D. *cum laude* from the University of Illinois College of Law, and after law school earned an LL.M. in securities and financial regulation with distinction from the Georgetown University Law Center. Mr. Knepper received his undergraduate degree from the United States Military Academy at West Point and, prior to law school, served for five years as a field artillery officer in the U.S. Army.

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**Stephen Marchese** has been with FINRA for nineteen years. Prior to joining FINRA (formerly NASD), Mr. Marchese spent four-and-a-half years working for a New York State Senator where some of his responsibilities included acting as both a business and military liaison. Since joining FINRA, Mr. Marchese has worked in four different District Offices. He began his career in the NYC District where he gained valuable experience working with market making firms. Soon after, he transferred to the Long Island Satellite Office and the Boca Raton, FL office (between 2001 to 2006) where he was active in a number of examinations and investigations involving “boiler room” type firm’s that focused on high-pressure sales tactics and “churning” trading strategies. In 2007, Mr. Marchese transferred to the Philadelphia District. During his time at FINRA, Mr. Marchese has been assigned to various different internal areas including acting as a cycle examiner, a cause examiner and in 2014 was named to the Northeast Regional Exam Team, which was a group of Examiners who were responsible for examining the riskiest firms in the Northeast region. Currently, Mr. Marchese is an Examination Manager, a position he has held since 2016. Some of the more notable examinations or investigations Mr. Marchese has worked on include the following: A Firm phone taping rule case in which the Firm did not tape all required conversations; A mutual fund market timing case in which the Firm being examined was a willing participant; Fraudulent activities related to a private placement, which included material omissions; Unauthorized trading activities of a registered representative who was under significant financial strain; Identified the intentional alterations to the books and records of a firm to indicate supervision had occurred on VA transactions; and, An email case in which a registered representative purposely deleted firm related email from his personal email address which he had been using for business without approval. Mr. Marchese has also participated in a number of Special Projects, including the Regulation 60 Sweep, AML Quality Reviews and High Risk Registered Representative Quantitative Assessments to name a few. He is currently a designated regulatory specialist in the area of private placements – crowdfunding and a regional expert in Branch Examinations. Mr. Marchese graduated from Molloy College (Rockville Centre, NY) with a BA in Political Science and Business Administration, and he received his MBA from Dowling College (Oakdale, NY).



**AnnMarie McGarrigle** is Surveillance Director for FINRA's Philadelphia District Office. In her role, she actively manages the office's regulatory surveillance program and leads a team of six regulatory coordinators who oversees and monitors approximately 230 member firms for compliance with applicable securities rules and regulations. As the Surveillance Director, Ms. McGarrigle is also responsible for the district's efforts to identify and address current and emerging industry risks through the analysis and assessment of a firms' finances, operations, controls and systems. Ms. McGarrigle has a Bachelor of Science degree in Accountancy from Villanova University and is designated as a Certified Regulatory and Compliance Professional™ (CRCP™) through the FINRA Institute.

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**Joe McNulty** is Examination Manager in FINRA's District 9A-Philadelphia office. He manages a team of six Examiners who are responsible for conducting firm examinations. His team has been associated with several high profile investigations that have identified serious sales practice abuses. Prior to becoming an Examination Manager, Mr. McNulty was an Examiner in FINRA's District 9B-Woodbridge office responsible for conducting examinations in FINRA's Cycle, Cause, and New Membership Application programs. Before joining FINRA, Mr. McNulty worked in the Compliance department of a wirehouse firm investigating customer complaints and disclosure matters.

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**Gregory (Greg) B. McShea** joined Janney Montgomery Scott in December 2012 as Senior Vice President and General Counsel. With more than 25 years of experience serving the financial services industry in legal and compliance roles, he was with M&T Bank prior to joining Janney, where he oversaw the regulatory and compliance functions of the Bank's mutual fund, investment management, broker-dealer, and insurance businesses. Mr. McShea's previous experience includes serving as General Counsel for Legg Mason Capital Management in Baltimore, MD and Western Asset Management Company in Pasadena, CA. Previously, he was the Compliance Director for the Private Client division of Legg Mason's broker-dealer. Before going in-house, he was an associate attorney at Weinberg and Green (now Saul Ewing) in Baltimore, Maryland. Mr. McShea received his Bachelor of Business Administration from West Virginia University and his Juris Doctor from The Catholic University of America.

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**Amber Nicklow** is Chief of the Central Region, of the Bureau of Securities Compliance and Examinations, for the Pennsylvania Department of Banking and Securities. In this role, she supervises the Bureau's central region, in its compliance examinations of Pennsylvania registered investment advisers and broker-dealers; and investigations concerning technical violations of the Pennsylvania Securities Act, fraud, and white-collar crime related thereto. Ms. Nicklow holds a BS in Business Management, a MS in Accounting, and a MS in the Administration of Justice. Ms. Nicklow is a member of the NASAA Board Level Member Services Committee and the International Association of Financial Crimes Investigators. Ms. Nicklow holds designations of Certified Fraud Examiner and Certified Anti-Money Laundering Specialist.



**Yvette Q. Panetta** is District Director in FINRA's Florida District Office located in Boca Raton, Florida. Ms. Panetta's primary responsibilities involve managing the Member Supervision Sales Practice Examination Programs in Florida, which includes Firm and Cause examinations, the Risk Monitoring Program, and FINRA's Securities Helpline for Seniors. Prior to joining FINRA, Ms. Panetta served as an examination manager with the U.S. Securities and Exchange Commission's Office of Compliance Inspections and Examinations located in New York. Ms. Panetta received her undergraduate and graduate degrees from Baruch College, The City University of New York where she graduated with honors. Ms. Panetta also holds the title of Certified Public Accountant from the American Institute of Certified Public Accountants.

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**Eric Pistilli** currently serves as Director of the Securities Licensing Office overseeing more than 200,000 financial professionals and firms. In his 12 years with the Department and the Pennsylvania Securities Commission, he has worked on all aspects of securities compliance, including registration, investigations, and exams. He has also served on the NASAA Investment Adviser Training Program. He is a CPA who worked in public accounting before joining state government service.

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**Eli Renshaw** joined the (formerly known as) NASD in 1999 after completing his service as a US Army officer. During his career at FINRA, Mr. Renshaw has led major fraud and AML related examinations across the country. Mr. Renshaw currently works as an examination manager in FINRA's AML Investigative Unit and is a FINRA national subject matter expert on AML. Mr. Renshaw holds a BS in Finance from Drexel University and is CAMS certified.

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**Joseph J. Sheirer** is Vice President, Director of FINRA's North Region and the District Director of the Woodbridge, NJ office. In his current role, Mr. Sheirer oversees the efforts of the Boston, Philadelphia and Woodbridge offices in executing the Risk Monitoring, Firm Examination, and Cause Investigation programs. Mr. Sheirer previously developed and oversaw FINRA's national Membership Application Program group and worked in varying capacities in a number of other FINRA departments including Risk Oversight & Operational Regulation, Continuing Education, Testing, and Qualifications & Registration. Mr. Sheirer is a graduate of Brooklyn Law School and Drew University and is a member of the Bars of the States of New York and New Jersey.

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**Glenn Skreppen** is Director of the Bureau of Securities Compliance and Examinations for the Pennsylvania Department of Banking and Securities. He manages securities investigations and investment adviser/broker-dealer compliance examinations for the Commonwealth of Pennsylvania. Previously, he worked for BNY Mellon as the Head of Domestic Equity Trading for their Securities Lending Department. He is a graduate of Indiana State University with a Bachelor's Degree in Accounting, and he earned an MBA in Finance from the University of Pittsburgh. Mr. Skreppen is a member of the NASAA Enforcement Training Project Group and the International Association of Financial Crimes Investigators (IAFCI). He holds the designations of Certified Fraud Examiner (CFE) and Certified Anti-Money Laundering Specialist (CAMS).





**Victor Sosa** is Examination Manager in FINRA's Philadelphia District Office. Mr. Sosa manages Cause examination staff that are responsible for the execution of the investigation of customer complaints, regulatory tips, member firm terminations of associated persons' employment for regulatory cause, and activities of associated persons to determine compliance with federal and FINRA rules and regulations. Prior to becoming an Examination Manager, he worked as an Examiner conducting Cycle and Cause investigations, and processed applications for FINRA membership. Prior to joining FINRA, Mr. Sosa worked for the City of Philadelphia as an Attorney in the Tax Division. Mr. Sosa obtained his JD from Temple University Beasley School of Law and his MBA from Saint Joseph's University.

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**Kayte Toczylowski** is Associate District Director of the Philadelphia District Office of FINRA (Financial Industry Regulatory Authority). She entered the securities industry in 2003 in the compliance department of Janney, a regional broker-dealer headquartered in Philadelphia. The majority of her eight-year career at Janney was spent as a compliance examiner for the firm's branch network. In 2011, she joined FINRA as a Sales Practice Examiner, was promoted to Manager in 2015, and assumed her current position in June 2018. As Associate District Director, she is responsible for the implementation of the District Office's Firm Examination program. Ms. Toczylowski received a BA in English from Villanova.

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Throughout her career, **Secretary Robin L. Wiessmann** has led strategic operations related to commercial and investment banking, regulatory policy and government. Under her leadership, the Pennsylvania Department of Banking & Securities has demonstrated a commitment to consumer protection and responsible innovation. Since beginning her tenure in 2015, Secretary Wiessmann has advocated for cybersecurity, financial capability and executive leadership for women, as well as safe harbor for banks to serve state-compliant marijuana-related businesses. For the Governor's Consumer Financial Protection Initiative, she provides strategic oversight of a financial information exchange that coordinates efforts of more than 20 state government agencies. Secretary Wiessmann served as chair of the Conference of State Bank Supervisors (CSBS) Non-Depository Supervisory Committee, is chair of the Board of Directors of the Pennsylvania Housing Finance Agency and is a member of eight other economic development, policy, and supervisory boards, including the Pennsylvania Higher Education Assistance Agency, Public School Employees' Retirement System, and State Employees' Retirement System. She is currently board secretary of CSBS. Before being appointed to her current role, Secretary Wiessmann served as deputy director of finance for the City of Philadelphia and as treasurer of Pennsylvania. During her private career, Secretary Wiessmann held leadership positions at Goldman Sachs and Merrill Lynch, and she was a founding principal and president of Artemis Capital Group, the first women-owned investment banking firm on Wall Street. In addition, Secretary Wiessmann served as chairman of the board for Vantagepoint Funds Mutual Fund, and on the board of Municipal Securities Rulemaking Board. In 2019, she received a lifetime achievement award as a Philadelphia Inquirer Influencer of Finance. She is a recipient of the Arthur E. Armitage, Sr. Distinguished Alumni Award from Rutgers Law School, from which she earned a law degree, and is a graduate of Lafayette College.

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