



2019 FINRA West Region Member Forum

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2019 FINRA West Region Member Forum Speaker Biographies

Sean Abbey is Examination Manager in FINRA's Denver District Office and supervises a team of examiners who conduct cycle and cause examinations to review for compliance with FINRA and SEC rules. Mr. Abbey has been with FINRA for more than seven years and previously worked as an Examination Manager and Examiner in FINRA's San Francisco District Office. Prior to joining FINRA, Mr. Abbey worked for the U.S. Treasury Department examining national banks. Mr. Abbey completed the Certified Regulatory and Compliance Professional™ program from the FINRA Institute at Wharton and graduated from Colorado State University with a Bachelor's degree in Finance.

Jeff Aelmore is the surveillance director of the Denver District office of FINRA with more than 10 years of experience in examination roles. He currently manages a team of Regulatory Coordinators and is responsible for risk assessment, financial, operational and sales practice surveillance for approximately 200 broker-dealers. Mr. Aelmore was previously an examiner for FINRA in the Dallas District office from 2005 through 2010 and was an Examination Manager in the Seattle District office from 2010 through 2015. Mr. Aelmore is a Certified Regulatory and Compliance Professional™ (CRCP™) from the FINRA Institute at the Wharton School of Business and is a graduate from Kansas State University with a bachelor's degree in finance and a minor in economics.

Brad Ahrens is Vice President in the Compliance Department overseeing the Surveillance, Technology, Digital, Analytics and Innovation Team at Charles Schwab. The Team is focused on providing expertise in the development, implementation, coordination and execution of surveillance and analytics throughout the department while providing business side administration of the AML transaction monitoring, broker-dealer surveillance, manipulative trading and electronic communications surveillance and supervisory systems for Charles Schwab & Co., Inc. and Charles Schwab Bank. His Team also provides ongoing compliance advice and guidance to the firm's Digital Services Group and also includes staff focused on new and emerging technologies that can enhance existing compliance processes. Mr. Ahrens has been a member of Schwab's Compliance Department for more than 21 years and has experience in a wide variety of compliance areas including retail sales practice, customer complaints, employee investigations, manipulative trading, options, representative compensation, AML, CDD, supervision/controls, surveillance, GRC, model risk management, and regulatory inquiries and examinations. Mr. Ahrens is a graduate of the University of Wisconsin – Madison with a BA in International Relations – Political Economy and Policy Studies.

Chris Beswick is a principal regulatory coordinator for the Denver District office of FINRA with approximately 20 years of experience through various roles within the organization. In his current position, Mr. Beswick is responsible for the risk assessment, financial, operational and sales practice surveillance for 42 broker-dealers. He was previously a cause examiner for FINRA in the Atlanta District office from 1999 to 2001 and was a cycle examiner in the Denver District office from 2002 through 2011. Mr. Beswick is a Certified Fraud Examiner™ (CFE™) from the Association of Certified Fraud Examiners, Inc. (ACFE™) and a Certified Anti-Money Laundering Specialist® (CAMS) from the Association of Certified Anti-Money Laundering Specialists (ACAMS®). He is a graduate from Georgia State University with a bachelor's degree in finance.

Kathleen Bisaccia is a principal regulatory coordinator with FINRA's Denver office. She has worked in the securities industry since 1991, starting with the Enforcement Division at the US Securities and Exchange Commission as an attorney, then Branch Chief and Associate Director. At the SEC Ms. Bisaccia investigated a variety of securities fraud matters, including many that included a broker-dealer component. She later worked as the Equities Enforcement Director at the Pacific Stock Exchange. Ms. Bisaccia also worked as a consultant at both Kroll, Inc. and FTI, Inc. leading internal investigations in a variety of matters including white collar, forensic accounting, and internal corporate fraud.

Jodee Brubaker-Rager is the founding member and Chief Compliance Officer of Geneos Wealth Management, Inc., a dually licensed firm formed in 2002. She began her brokerage career in the financial services with E.F. Hutton and has subsequently held management roles in compliance, operations and information systems and technology with several regional and national firms including Boettcher and Co., Kemper Securities, R.A.F. Financial and Multi-Financial Securities.

Lance Burkett, FINRA District Director, began his securities industry career in 1993 as a Securities Fraud Investigator for the State of Arizona Securities Division, working exclusively on fraud cases involving broker-dealers. Later, at a FINRA member firm, he was responsible for supervising Producing Branch Managers and Field Representatives as the Field Compliance Director. Throughout his tenure with FINRA, Mr. Burkett has held positions ranging from Compliance Examiner, responsible for examining FINRA member firms for general compliance, to District Director, responsible for the management and oversight of the regulatory programs within the Denver District office. In addition to his regulatory responsibilities, Mr. Burkett earned his Certified Regulatory and Compliance Professional™ designation through the FINRA Institute at Wharton and has developed content and presented at several FINRA Institute class offerings.

Robert W. Cook is President and CEO of FINRA, and Chairman of the FINRA Investor Education Foundation. From 2010 to 2013, Mr. Cook served as the Director of the Division of Trading and Markets of the U.S. Securities and Exchange Commission. Under his direction, the Division's professionals were responsible for regulatory policy and oversight with respect to broker-dealers, securities exchanges and markets, clearing agencies and FINRA. In addition, the Division reviewed and acted on over 2,000 rule filings and new product listings each year from self-regulatory organizations, including the securities exchanges and FINRA, and was responsible for implementing more than 30 major rulemaking actions and studies generated by the Dodd-Frank and JOBS Acts. He also directed the staff's review of equity market structure. Immediately prior to joining FINRA, and before his service at the SEC, Mr. Cook was a partner based in the Washington, DC, office of an international law firm. His practice focused on the regulation of securities markets and market intermediaries, including securities firms, exchanges, alternative trading systems and clearing agencies. During his years of private practice, Mr. Cook worked extensively on broker-dealer regulation, advising large and small firms on a wide range of compliance matters. Mr. Cook earned his J.D. from Harvard Law School in 1992, a Master of Science in Industrial Relations and Personnel Management from the London School of Economics in 1989, and an A.B. in Social Studies from Harvard College in 1988.

Colleen Diles is the surveillance director for the Los Angeles District Office of FINRA. Ms. Diles oversees the District Office risk-monitoring program, which is responsible for identifying and addressing current and emerging risks at member firms and within the industry. She has been instrumental in the evolution of the risk-monitoring program over the years and is involved in the current transformation efforts at FINRA, working on various national initiatives that will shape the risk monitoring and examination programs going forward. Ms. Diles has 23 years of securities industry experience, including 19 years in securities regulation. Prior to her current role as Surveillance Director, Ms. Diles was an Examination Manager in the Los Angeles District Office. Prior to joining FINRA, Ms. Diles was a Mutual Fund Administration Supervisor at Chase Global Fund Service Company in Boston, Massachusetts. Ms. Diles earned a Bachelor of Science with a concentration in Accounting from Merrimack College, and she completed the Excellence in Management Program at Wharton School of Business. Ms. Diles is a dedicated volunteer and supporter of the ASPCA, raising awareness and volunteering with adoptable pets through annual fundraisers and local community programs.

Gerald Dougherty is Associate District Director of FINRA's District 3 region with offices based in Denver, Colorado. Mr. Dougherty is responsible for overseeing the day-to-day execution of the district's regulatory programs. He served in the same capacity at NASD prior to its consolidation with NYSE Member Regulation in 2007. Prior to joining the west region, Mr. Dougherty began his career in 1987 as an examiner in the Philadelphia district office and was soon promoted to Exam Manager in the New York district office. He has presented at numerous compliance conferences, providing vital regulatory information to industry professionals. Mr. Dougherty has a BA in Economics from Ursinus College and a MS in Finance from Drexel University. To further his expertise in the securities industry, Mr. Dougherty graduated in 2007 from the FINRA Institute at Wharton Certified Regulatory and Compliance Professional program™ (CRCP™).

David Greene is District Director of FINRA's Los Angeles District 2 Office. He served in the same role at NASD before its 2007 consolidation with NYSE Member Regulation, which resulted in the formation of FINRA. In his capacity as District Director, Mr. Greene oversees the sales practice oversight process of FINRA-regulated securities firms based in District 2, as well their employees, with responsibility for ongoing surveillance, examinations and investigations. In January 2000, Mr. Greene joined FINRA (then NASD) as a

regional counsel for FINRA's Enforcement Department, and was based in the Los Angeles District Office. For two-and-a-half years preceding his appointment as Director, Mr. Greene served as the Deputy Regional Chief Counsel, FINRA Enforcement Western Region, where his responsibilities included managing enforcement attorneys in FINRA district offices of Los Angeles, San Francisco, Denver and Seattle; developing and overseeing FINRA's national non-summary proceedings programs; as well as his own enforcement docket. Among the significant cases Mr. Greene handled were those involving mutual fund share classes, gifts and gratuities, market timing, brokered certificates of deposit, sales practice violations and operational compliance issues. Prior to joining FINRA, Mr. Greene was associated with a law firm in Los Angeles for 10 years. Mr. Greene received his undergraduate degree from Pepperdine University and his law degree from Southwestern University School of Law. Mr. Greene is licensed to practice law in California, and is admitted to practice before various federal courts. He is an executive committee liaison of the Los Angeles County Bar Association Business & Corporations Law Section and is frequently a speaker at securities industry events. Mr. Greene is also designated as a Certified Regulatory and Compliance Professional™ through the FINRA Institute at Wharton.

Mark Howells, Chief Executive Officer for M.S. Howells & Co., began his journey at his family's grocery business in Cleveland, Ohio, where he acquired valuable traits and characteristics to guide him through life and aid in his success. Not far from the family grocery store was the local police department where he would watch the officers with great admiration and respect. Intrigued by their bravery and commitment to public service he worked towards a degree in criminal justice and began a decade-long career as a police officer. While working nights on the Phoenix PD and helping raise his three children, he was introduced to the securities industry. In 1981, he began a day-shift in the back office of a NYSE member firm. There he learned the intricacies of the securities industry while working his way into sales, and then management before forming his own firm in 1987. In 2000, he sold his ownership in the firm, and started M.S. Howells & Co., a boutique broker-dealer that services hedge funds and Registered Investment Advisors. With more than 30 years' experience in the securities industry, Mr. Howells has extensive knowledge of the high net worth client, market making, corporate finance, options, and the municipal and corporate bond market. In 2008 Mr. Howells recognized a need within the industry for quality accounting and administrative services for hedge fund managers. With that, he established PartnersAdmin, LLC, to provide comprehensive back office support to hedge fund managers as well as private equity, real estate, and venture capital funds. In addition, Mr. Howells spent 15 years as a member of the board of directors at Inventure Foods, Inc. (SNAK) and is responsible for taking them public. He loves to spend time in Telluride, Co., and recently became a certified ski instructor. Mr. Howells holds a series 7, 24, 53, 79 and 63 securities license. Through his various successes in life he still has the desire to provide for the public through his businesses and philanthropy, where he supports various charities through his Foundation.

Chip Jones is Senior Vice President of Member Relations and Education for FINRA. In leading the Member Relations and Education Department, Mr. Jones' responsibilities include maintaining and enhancing open and effective dialog with FINRA member firms. Mr. Jones also oversees FINRA's Member Education area, which includes FINRA conferences and other member firm educational offerings such as the FINRA Institute at Georgetown for the Certified Regulatory and Compliance Professional (CRCP)® designation. Prior to joining FINRA, Mr. Jones spent six years as Vice President of Regulatory and Industry Affairs at American Express Financial Advisors (AEFA). Previous to AEFA, he spent two years as Advocacy Administrator for the Association for Investment Management and Research (AIMR). Mr. Jones was employed by the Virginia Securities Division as a senior examiner/investigator prior to joining AIMR.

Don Lopezi is Senior Vice President and Regional Director of FINRA's West Region. The West Region consists of the District Offices located in Denver, Los Angeles and San Francisco. The West Region is responsible for conducting examinations, investigations and ongoing surveillance of broker-dealers and registered persons located in the western half of the United States. Previously, Mr. Lopezi was the District Director of the FINRA San Francisco District Office. Prior to joining the San Francisco Office, he was a Director of FINRA's Examination Programs Group (EPG), located in Washington, DC. EPG, among other things, authored and maintained examination policies and procedures used by FINRA's examination staff, coordinated national special projects and initiatives, and oversaw the national examination program—the regulated firm-focused examination and surveillance activities conducted by FINRA's Member Regulation Department. Mr. Lopezi began his career as an Examiner in NASD's Denver District Office in 1992 and, after serving as Supervisor in the Denver District Office, joined the Washington, DC, office in September 2003. He graduated from the University of Colorado at Boulder with a B.S. degree in Accounting, and received his MBA from the University of Colorado at Denver.

Brendon Maloney is a principal regulatory coordinator in the Denver District office of FINRA with more than five years of experience in a FINRA surveillance role. He currently serves as a point of contact and conducts ongoing surveillance and monitoring on approximately 45 broker-dealers. Prior to his current position, Mr. Maloney worked for a number of independent broker-dealers in various roles including compliance advisor, supervisory controls analyst, operations specialist, and others. Mr. Maloney is a Certified Anti-Money Laundering Specialist and previously held several industry licenses prior to joining FINRA. Mr. Maloney is also a graduate from Nazareth College of Rochester, NY.

Thomas Mellett is District Director of FINRA's San Francisco District Office, where he is responsible for the day-to-day leadership of the office. He also supports the Regional Director in managing the regulatory programs and administration of the district offices within the West Region. Prior to this role, Mr. Mellett was the Surveillance Director of FINRA's Denver and Seattle District Offices. He supervised regulatory coordinators who plan examinations and conduct financial/operational surveillance of member firms. From 2010 through 2012, Mr. Mellett was an Examination Manager in San Francisco and was responsible for supervising routine examinations of member firms. He transitioned into management after working as an examiner in the New York District Office, where he contributed to many high-profile and complex investigations. Mr. Mellett is designated as a Certified Regulatory and Compliance Professional™ (CRCP™) through the FINRA Institute. Mr. Mellett holds a bachelor's in finance from Bentley University.

Robert Molinari has been with Commonwealth Financial Network since 2004. As the Chief Regulatory Affairs Officer, Mr. Molinari leads and manages the Regulatory Affairs Unit and oversees management of the Supervisory Controls Unit. He received his BS in criminal justice from Northeastern University and his MBA from Babson College. In addition, Mr. Molinari holds the Certified Regulatory and Compliance Professional™ (CRCP)™ designation, as well as a number of FINRA registrations and is currently serving on the FINRA District 2 Committee.

Troy Mulhern is a senior regulatory coordinator with FINRA's Denver office since March 2016. He previously worked as an analyst in FINRA's Office of Fraud Detection and Market Intelligence. Mr. Mulhern studied Economics at University of Maryland College Park.

Isabel Patel is Surveillance Director in FINRA's San Francisco District Office. Prior to this role, Ms. Patel was an Examination Manager in the Los Angeles District Office where she supervised complex cases involving a variety of business lines and products. Ms. Patel has worked in financial regulation for almost 20 years, starting out as a regulator at the Nasdaq Stock Market where she helped develop and manage the market's real time trade surveillance system. Ms. Patel received her degree in Economics from George Washington University and works with youth groups at her local church.

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Harry Striplin is Chief Compliance Officer for Umpqua Investments, Inc., a small firm headquartered in Portland, Oregon. He has been with Umpqua Investments for nine years. Mr. Striplin has more than 36 years of experience working at small firms and more than 27 years serving as a Chief Compliance Officer in the small firm environment. He has served as a member of FINRA's District 3 Committee, the Securities Industry Regulatory Council on Continuing Education and has been a panelist at FINRA securities conferences. Mr. Striplin has been a member of the Securities Industry Continuing Education Content Committee for more than 20 years. Mr. Striplin serves as an arbitrator for FINRA Dispute Resolutions and has achieved his Certified Regulatory and Compliance Professional™ (CRCP™) certification through the FINRA Institute at Wharton.

Haimera Workie is Senior Director responsible for heading up FINRA's Office of Emerging Regulatory Issues, which focuses on analyzing new and emerging risks and trends related to the securities market. Previously, Mr. Workie served as Deputy Associate Director in the Division of Trading and Markets at the U.S. Securities and Exchange Commission. In this capacity, Mr. Workie was tasked with developing a variety of Dodd-Frank Act related rulemakings, supervising policy matters related to market intermediaries and financial market utilities, and representing the Commission before several international standard setting bodies. Mr. Workie also previously served as Counsel to Commission Chair Mary Schapiro. Prior to joining the Commission, he was an associate at the law firm of Skadden, Arps, Slate, Meagher & Flom, with a practice

focusing on corporate law. He is a graduate of the Massachusetts Institute of Technology (B.S., M.S.) and Harvard Law School (J.D.).