



COMMISSIONER OF FINANCIAL REGULATION - 43004009

(37902)View Details

Job Postings (1)

Status : Open Hiring Manager : SHERRI BRALEY Age : 0d

Talent Pipeline Hide Talent Pipeline

[View active candidates \(21\)](#) [View all candidates \(22\)](#)

Forwarded	Invited To Apply	New	Review	1st interview	2nd Interview	Offer	Ready to Hire
0	0	21	0	0	0	0	0

Candidates :View all candidates (22)

Action 0 Selected

Filter Options

Enter Applicant Name

- Name
- Terrica Coleman
- William Jannace

William Jannace (External Candidate)

(917) 282-1034 wjannace@gmail.com [Cover Letter](#) [Resume](#)

Application

* Status: New

Country: United States

Submission Attachments 0 attached

Attachments Added After Submission [Attach a document](#)

Vacancy Source: Newspaper

Relatives: To your knowledge, do you have any relatives working in this agency? No

Right To First Interview Not Applicable

If you responded yes to the above statement, attach a copy of your official layoff letter applying for this vacancy.

Veteran Status None of the Above

ARE YOU CURRENTLY EMPLOYED WITH THE AGENCY TO WHICH YOU ARE CURRENTLY APPLYING? No

HAVE YOU RECEIVED A PROMOTIONAL APPOINTMENT WITHIN THE CAREER SERVICE, SUBSEQUENT TO ACTIVE MILITARY SERVICE, WITH THE AGENCY TO WHICH YOU ARE APPLYING? No

People First Initial VP Review No Selection

People First Eligible VP Category (if different) No Selection

Agency Final VP Eligibility Review No Selection

Agency Final VP Category Determination No Selection

Background Information

A "yes" answer to these questions will not automatically bar you from employment relatedness, severity, and date of the offense in relation to the position you are applying for. [see 112.011, F.S.]

No

Have you ever been convicted of a felony or a first degree misdemeanor ?

If yes, what were the charges ?

Where ? (City/State)

Date

Have you ever pled nolo contendere or guilty to a crime which is a felony or a first degree misdemeanor ? No

If yes, what were the charges ?

Where ? (City/State)

Date

Have you ever had the adjudication of guilt withheld for a crime which is a felony or first degree misdemeanor ? No

If yes, what were the charges ?

Where ? (City/State)

Date

Signature

I am aware that any omissions, falsifications, misstatements, or misrepresentation disqualify me for employment and, if I am hired, may be grounds for termination at understand that any information I give may be investigated as allowed by law. I co release of information about my ability, employment history, and fitness for employ employers, schools, law enforcement agencies, and other individuals and organiz investigators, human resources staff, and other authorized employees of Florida st for employment purposes. The consent shall continue to be effective during my en hired. I understand that applications submitted for state employment are public rec the best of my knowledge and belief all of the statements contained herein and on are true, correct, complete, and made in good faith.

If applicable, Complete Qualifying Questions prior to submitting your applic:

By checking this box, I certify that I have read and agree with these statements Yes

Interview Result overdueInterviews

Screening Details

In the State of Florida application you indicated that you are legally authorized to work in the United States, Are you one of the following: Citizen or National of the United States; Lawful Permanent Resident; Refugee; Asylee, or Temporary Resident (does not include non-immigrant visas such as F-1, J-1, H-1, etc.)? Yes

Will you now or in the future require sponsorship for No

employment visa status (e.g. H-1B visa status)?

Do you have at least five (5) years of responsible private sector experience working fulltime in areas within the subject matter jurisdiction of the Office of Financial Regulation within the previous ten (10) years?

Yes

If you answered "yes" to the previous question, please elaborate on your experience. If no, please respond N/A.

Worked at FINRA and predecessor organizations for 22 years.

Do you have at least five (5) years of experience as a senior examiner or other senior employee of a state or federal agency having regulatory responsibility over financial institutions, finance companies, or securities companies within the previous ten (10) years?

Yes

If you answered "yes" to the previous question, please elaborate on your experience. If no, please respond N/A.

Managing Director NYSE/FINRA from 2004-2015

Periods of Employment

UNSPECIFIED

2
0

Teaching/Lecturing-Adjunct Professor

Details

Name of Employer* UNSPECIFIED

Your Job Title* Teaching/Lecturing-Adjunct Professor

Currently Employed* Yes

Start Date* 08/01/2015

End Date* MM/DD/YYYY

Hours Per Week* 10

Employer's Address

Supervisor's Name

Supervisor's Phone Number

Duties and Responsibilities* Courses/Topics: Capital Markets/IPOs/Exempt Offerings/ADRs/Private Equity, Securities/SRO/Mutual Fund/Broker- Dealer/Investment Adviser Regulation/Oper Capital/Customer Protection/Prime Brokerage/Short Selling/Introducing-Clearing . Financial Literacy, Contracts, International Arbitration, Proxy Rules/Corporate Governance/Shareholder Activism/Corporate Social Responsibility, Corporate Diplomacy/Environmental, Social, Governance and Impact Investing, Climate Change State Capitalism, Family Firms, Sovereign Wealth Funds, and Geopolitics FORDI OF LAW GEORGETOWN GLOBAL EDUCATION INSTITUTE WHARTON BUSINESS FINANCIAL MARKETS WORLD GLOBAL FINANCIAL MARKETS INSTITUTE, IN Consultant/Expert Witness: Proxy Voting and Corporate Governance, Broker-Dee Markets Regulation GERSON LEHRMAN GROUP THE WORLD BANK THE BAT ASIAN CORPORATE GOVERNANCE ASSOCIATION AB (F/K/A ALLIANCE BEF DELAWARE BOARD OF TRADE

Reason For Leaving* current

Your name, if different during employment

UNSPECIFIED

1
0

Director and Counsel-Sales Practice Policy

Details

Name of Employer* UNSPECIFIED

Your Job Title* Director and Counsel-Sales Practice Policy
Currently Employed* No
Start Date* 08/01/2001
End Date* 08/01/2015
Hours Per Week* 60
Employer's Address
Supervisor's Name
Supervisor's Phone Number
Duties and Responsibilities* * Supervised staff of professionals responsible for: writing rules and amendments providing interpretive guidance to FINRA members regarding sales practice rules coordinate policy responses to new products and services (e.g. Private IPO mark and business models (crowd funding). * Participated in Regulatory Expert program Research, AML, MSRB and Internal Controls violations. * Analyzed 17d-2 and RS Participated in FINRA-industry committee meetings and industry outreach program statutory disqualification recommendations and represented FINRA at eligibility p Represented FINRA at expedited proceedings for violations of FINRA rules. * Sup IOSCO initiatives and its MOUs with foreign regulators. * Conducted training program internationally with US SEC. Managing Director - Member Firm Regulation * Over development and policy initiatives including: SRO Rule Harmonization, AML/Patri Outsourcing, ACATS, Electronic Communications, Branch Office Supervision and Internal Controls, CEO Certification/CCO Designation, Registration and Qualification Examinations, Margin and Net Capital, Bank Sweeps and Foreign Research Analyst board summaries and made presentations at NYSE Board meetings. * Participated in Disciplinary Advisory Committee and drafted interpretive request responses for NYSE.
Reason For Leaving* Position eliminated
Your name, If different during employment

UNSPECIFIED

Senior Special Counsel

▼ Details

Name of Employer* UNSPECIFIED
Your Job Title* Senior Special Counsel
Currently Employed* No
Start Date* 06/29/2001
End Date* 08/28/2015
Hours Per Week* 60
Employer's Address
Supervisor's Name
Supervisor's Phone Number
Duties and Responsibilities* * Drafted and amended NYSE rules including: IPO Allocations, Research Analyst Branch Office/Supervision and Business Continuity rules. * Worked with OFAC as firms identify potential money laundering issues and to restrict terrorist financing in merger
Reason For Leaving*
Your name, If different during employment

TORONTO DOMINION SECURITIES

Senior Associate

▼ Details

Name of Employer* TORONTO DOMINION SECURITIES
Your Job Title* Senior Associate
Currently Employed* No
Start Date* 08/01/2000
End Date* 06/30/2001
Hours Per Week* 60
Employer's Address
Supervisor's Name
Supervisor's Phone Number
Duties and Responsibilities* * Provided legal advice on Regulation D and Rule 144A/Regulation S offerings. * 144 resales and Rule 10b-18 share buy backs. * Reviewed Offering Memorandum

and Prime Brokerage Agreements. * Responsible for Control Room/Watch and R List/Insider Trading compliance.

Reason For Leaving* NYSE
Your name, if different during employment

AMERICAN STOCK EXCHANGE

Staff Attorney

▼ Details

Name of Employer* AMERICAN STOCK EXCHANGE
Your Job Title* Staff Attorney
Currently Employed* No
Start Date* 02/01/1994
End Date* 08/01/2000
Hours Per Week* 45

Employer's Address

Supervisor's Name

Supervisor's Phone Number

Duties and Responsibilities* * Investigated violations of securities laws and SRO rules by members. * Conduct drafted reports of investigation. * Conducted contested and settlement disciplinary against members.

Reason For Leaving* TD Securities
Your name, if different during employment

SMITH BARNEY SHEARSON, INC.

Market Surveillance Analyst

▼ Details

Name of Employer* SMITH BARNEY SHEARSON, INC.
Your Job Title* Market Surveillance Analyst
Currently Employed* No
Start Date* 06/01/1993
End Date* 02/01/1994
Hours Per Week* 50

Employer's Address

Supervisor's Name

Supervisor's Phone Number

Duties and Responsibilities* * Enforced compliance with firm's information barriers. * Monitored and surveilled institutional agency and principal trading. * Responded to SEC and SRO inquiries

Reason For Leaving* Amex
Your name, if different during employment

GEORGESON & COMPANY, INC.

Senior Account Executive

▼ Details

Name of Employer* GEORGESON & COMPANY, INC.
Your Job Title* Senior Account Executive
Currently Employed* No
Start Date* 09/01/1988
End Date* 06/30/1992
Hours Per Week* 40

Employer's Address

Supervisor's Name

Supervisor's Phone Number

3
0

Duties and Responsibilities*

* Liaison for corporations and shareholders regarding corporate governance issues on proxy fights and tender offers for corporate activists and listed companies. * Li specialists (n/k/a DMM) and floor brokers for listed companies to provide market trading activity. Interfaced with custodian banks, investment advisers, and deposit preparing beneficial ownership reports for use in proxy fights. * Monitored trading companies' securities versus 13F filing positions to determine potential changes in ownership. Communicated with risk arbitrageurs regarding views on pending mer

Reason For Leaving*

DF King

Your name, if different during employment

▼ **Formal Education**

**FORDHAM UNIVERSITY SCHOOL OF LAW
NYC**

▼ Details

Name of School* FORDHAM UNIVERSITY SCHOOL OF LAW
Location* NYC
Start Date* 08/15/1994
End Date 05/19/1996
Course of Study L.L.M.: BANKING, CORPORATE AND FINANCE LAW
Degree Earned (transcripts may be required)* Other Degree Type
Credit Hours – Quarter
Credit Hours – Semester

**NEW YORK LAW SCHOOL
NYC**

29
08

▼ Details

Name of School* NEW YORK LAW SCHOOL
Location* NYC
Start Date* 08/15/1988
End Date MM/DD/YYYY
Course of Study Juris Doctor
Degree Earned (transcripts may be required)* Other Degree Type
Credit Hours – Quarter
Credit Hours – Semester

**NEW YORK UNIVERSITY
NYC**

▼ Details

Name of School* NEW YORK UNIVERSITY
Location* NYC
Start Date* 09/06/1976
End Date 12/30/1980
Course of Study B.A., ECONOMICS
Degree Earned (transcripts may be required)* Bachelors
Credit Hours – Quarter
Credit Hours – Semester

▼ **Language Skills**

There are no items in this section.

▼ **License, Registration or Certification**

There are no items in this section.

▼ **Job-Related Training or Course Work**

There are no items in this section.

▼ **Knowledge, Skills and Abilities**

There are no items in this section.

Items per page 10 ▼

Page of 3

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William Jannace**Professional Experience**

William Jannace has worked nearly 30 years in the securities industry at the American and New York Stock Exchanges and FINRA. He managed FINRA's Sales Practice Policy department responding to interpretive, policy and disposition requests, covering: capital markets, research, books and records, supervision, outsourcing, bank sweeps, outside business activities/private securities transactions and conflicts of interest. Mr. Jannace also worked in the Enforcement Department where he investigated violations of federal securities laws/SRO rules, conducted OTRs, drafted reports of investigation/statement of charges/settlements and conducted contested/settlement proceedings.

He has also taught courses at Fordham School of Law, New York Law School, Wharton Business School, Georgetown Global Education Institute, Drexel University, New York University, Pace University, Baruch College, Securities Training Corporation, New York Institute of Finance, Financial Markets World, Global Financial Markets, Inc., New York Society of Security Analysts, and the Securities Industry Institute/Wharton Business School on:

- Capital Markets/IPOs/Exempt Offerings/ADRs
- Securities/SRO/Mutual Fund/Investment Adviser/Broker-Dealer Regulation
- Broker-Dealer Operations/Net Capital/Customer Protection/Prime Brokerage/Short Selling/Clearance and Settlement
- Corporate Governance/Proxy/Activism/Corporate Social Responsibility/Environmental, Social, Governance/Impact Investing/Climate Change/COP21, State Capitalism/Family Firms/ Sovereign Wealth Funds/Geopolitics/Geoeconomics.

Primary Practice Areas

As a regulator, Mr. Jannace interfaced with the SEC, NASD, state regulators/trade associations (SIFMA) in shepherding proposals for approval; and helped draft reports on: research analyst conflicts; secondary trading of private companies; transparency enhancements to the securities lending marketplace; and on mutual regulatory recognition. He participated in the Compliance Advisory Group, OSRC, and IOSCO initiatives. He also led a FINRA initiative to rewrite its membership rules. Rule proposals/ guidance included:

- SRO Rule Harmonization/Business Continuity/Contingency Planning
- CEO Certification/Internal Controls/Supervision/
- Review/Supervision of Electronic Communications
- AML/Patriot Act/OFAC/SDNs
- IPO Allocations/Research Analyst Conflicts/Qualification Examination
- Portfolio Margin/Capital

He also worked at TD Securities and Smith Barney Shearson, providing legal advice on/reviewed or responsible for:

- Regulation D/S offerings/144A/144 resales/10b-18 share buybacks

- Offering Memorandums/Underwriting and Prime Brokerage Agreements
- Research reports and trading approvals for new issues/secondary offerings
- Ensured trade reporting/Control Room/employee/firm trading compliance

He was an account executive at Georgeson and D.F. King serving as liaison for corporations/institutional shareholders regarding corporate governance issues; assisted on proxy fights/tender offers for corporate raiders/listed companies; liaison with trading floor and arbitrageurs to provide market color to listed companies; monitored trading versus 13F filings to determine changes in shareholder ownership. He was also Series 7/63 licensed at Drexel Burnham/Paine Webber and was also a consultant for The World Bank.

Dispute Resolution Experience and Training

William Jannace attended an International Commercial Arbitration Training Program with the Chartered Institute of Arbitrators, is a CIArb Fellow, a FINRA Non-Public arbitrator, a member of the New York International Arbitration Center, a judge for the FINRA Annual Securities Dispute Resolution Triathlon, and arbitrator for the Willem C. Vis Moot Court at Fordham Law School. He also attended Mediation Training at the NYCBA and received a Certificate in International Commercial Arbitration from Columbia Law School/Chartered Institute of Arbitrators. He is also a research affiliate with the Fletcher Network for Sovereign Wealth and Global Capital. Mr. Jannace received his JD from New York Law School in 1992, his LL.M. in Corporate, Banking, and Finance Law from Fordham Law School in 1996, is a member of the State Bars of New York and Connecticut; received a Certificate in Global Affairs at New York University and Environmental, Social and Governance investment training from the International Corporate Governance Network.

International Experience

Mr. Jannace also conducted overseas training programs for the: Russian Securities Commission/Stock Exchange; The Capital Markets Authorities in : Uganda, Burundi, Tanzania and Kenya; Saudi Arabian Capital Markets Authority; Securities and Exchange Board of India; Ukrainian Securities Commission/Stock Market; Romanian Securities Commission; Jordanian Securities Commission; Capital Markets Authority of Turkey; Albanian Financial Supervisory Authority; New York Institute of Finance- Beijing/China, the Taiwan Stock Exchange and for IOSCO in Spain.

Publications, Speaking Engagements and/or Professional and Civic Associations

He has also volunteered for the Interfaith Center on Corporate Responsibility, the Asset Owners Disclosure Project, UNICEF and served as a judge for the SIFMA Foundation InvestWrite Competition. Mr. Jannace is a member of the Bretton Woods Committee and the NGO Committee To Stop Trafficking in Persons. He is also active in raising funds and awareness for humanitarian assistance and an active supporter of education through the establishment of the Anthony E. Jannace scholarship at New York Law School and the Susan M. Jannace scholarship at Fordham University.

He has contributed to the following publications:

“Cautionary Notes for Supply Chain Managers and Others Involved in Global Sourcing & Partnerships (Human Trafficking & Modern Slavery Conditions Raise Reputational Risks),” Governance & Accountability Institute, January 2018).

“Sustainability Disclosures in the EU,” Insights, The Corporate and Securities Law Advisor, Volume 31, Number 8, August 2017.

“Sustainability Disclosures in the EU: Implementation of the 2014 EU Non-Financial Reporting Directive,” ABA, Spring 2017.

“Accounting for Trade: President Trump and the Geopolitical Balance Sheet,” NYU-Global Affairs Perspectives on Global Issues, Spring 2017.

“NASD/NYSE Rule Harmonization: What Do the Changes Mean in Practice,” The Journal of Securities Compliance, Volume One, October 2007.

His speaking engagements include: Securities Regulation/Corporate Governance/Capital Markets, Impact Investing/ESG, and Broker-Dealer Operations/Market Structure/Clearance and Settlement for:

- Skytop Strategies-Compliance Conference
- UNICEF-Human Trafficking Podcast
- Skytop Strategies-Impact Investment Conference
- Chinese Securities Regulatory Commission
- China Construction Bank
- Iraq Stock Exchange
- Securities and Exchange Bureau of India
- Tokyo Stock Exchange
- Hawkamah Institute for Corporate Governance
- Kenyan Capital Markets Authority
- El Salvador Securities and Exchange Commission
- Ghana Stock Exchange
- Mexican Banking and Securities Commission
- Sarajevo Stock Exchange/Securities Commission
- Saudi Arabian Capital Markets Authority
- Central Bank of Kosovo
- Malaysian Securities Commission
- SEC Annual Institute for Securities Market
- US State Department Foreign Delegation
- Hong Kong Securities Commission
- Philippine Dealing System Holdings
- Treasury Department of Argentina
- Ontario Securities Commission
- Securities Operations Forum
- ALI-ABA Compliance and Enforcement Conference
- SIFMA IAD and Fixed-Income Conferences
- FINRA Spring Conference
- NYSE Regulatory Conferences
- SIFMA Equity Capital Markets and Research Management Conferences

- BD Week Annual Compliance Conference
- SIFMA Annual Legal and Compliance Conferences
- NASD Institute for Professional Development
- ABA Conference.

Bar Admissions: Member of the New York and Connecticut Bars

Education

COLUMBIA LAW SCHOOL/CHARTERED INSTITUTE OF ARBITRATORS 2018
Certificate in International Commercial Arbitration

NEW YORK CITY BAR ASSOCIATION 2018
Basic Mediation Training

GOVERNANCE & ACCOUNTABILITY INSTITUTE 2017
Certification Course: ESG, Sustainable and Impact Investment Training

NEW YORK UNIVERSITY-SPS 2017
Geopolitics of Energy Development-Tel Aviv, Israel

ASSOCIATION OF CERTIFIED ANTIMONEY LAUNDERING SPECIALISTS 2017
Certified Member

CHARTERED INSTITUTE OF ARBITRATORS 2016
International Commercial Arbitration Training Program; FCI Arb Fellow

NEW YORK UNIVERSITY – SPS 2016
Economic and Security Program- Moscow, Russia

NEW YORK UNIVERSITY/ARMY WAR COLLEGE 2016
Special Crisis Negotiation Exercise

NEW YORK UNIVERSITY – SPS 2016
Sustainable Development Program-La Paz, Bolivia

NEW YORK UNIVERSITY – SPS 2015
Global Affairs Program – Certificate

NEW YORK UNIVERSITY – SPS 2014
U.N. Geneva Program-Geneva, Switzerland

INTERNATIONAL CORPORATE GOVERNANCE NETWORK 2014
ESG Integration Training Program-Amsterdam, Netherlands

SECURITIES INDUSTRY INSTITUTE/WHARTON BUSINESS SCHOOL 2004-2016
Certificate Program/Member of the Board of Trustees/Lecturer

FORDHAM UNIVERSITY SCHOOL OF LAW 1996
L.L.M.: BANKING, CORPORATE AND FINANCE LAW

NEW YORK LAW SCHOOL; J.D. 1992

NEW YORK UNIVERSITY; B.A., ECONOMICS 1981

Contact

Information

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11360

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William Jannace

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 Bayside, NY 11360
 Home: (718) 224-8231 • Cell: (917) 282-1034
wjannace@gmail.com

Results-driven manager/attorney with more than 15 years of experience and in-depth knowledge and expertise supervising staff in drafting, implementing and interpreting SRO rules, conducting investigations, and compliance reviews. Strong knowledge of financial services compliance.

PROFESSIONAL EXPERIENCE**Teaching/Lecturing-Adjunct Professor****Aug. 2015 – Present**

Courses/Topics: Capital Markets/IPOs/Exempt Offerings/ADRs/Private Equity, Securities/SRO/Mutual Fund/Broker-Dealer/Investment Adviser Regulation/Operations/Net Capital/Customer Protection/Prime Brokerage/Short Selling/Introducing-Clearing Agreements, Financial Literacy, Contracts, International Arbitration, Proxy Rules/Corporate Governance/Shareholder Activism/Corporate Social Responsibility, Corporate Diplomacy/Environmental, Social, Governance and Impact Investing, Climate Change/COP21, State Capitalism, Family Firms, Sovereign Wealth Funds, and Geopolitics

**FORDHAM SCHOOL OF LAW
 GEORGETOWN GLOBAL EDUCATION INSTITUTE
 WHARTON BUSINESS SCHOOL
 FINANCIAL MARKETS WORLD
 GLOBAL FINANCIAL MARKETS INSTITUTE, INC.**

Consultant/Expert Witness: Proxy Voting and Corporate Governance, Broker-Dealer and Capital Markets Regulation

**GERSON LEHRMAN GROUP
 THE WORLD BANK
 THE BATES GROUP
 ASIAN CORPORATE GOVERNANCE ASSOCIATION
 AB (F/K/A ALLIANCE BERNSTEIN)
 DELAWARE BOARD OF TRADE**

FINRA: F/K/A NEW YORK STOCK EXCHANGE REGULATION**June 2001– Aug. 2015*****Director and Counsel-Sales Practice Policy***

- Supervised staff of professionals responsible for: writing rules and amendments to rules and providing interpretive guidance to FINRA members regarding sales practice rules.
- Helped coordinate policy responses to new products and services (e.g. Private IPO market, bank sweeps) and business models (crowd funding).
- Participated in Regulatory Expert program regarding Research, AML, MSRB and Internal Controls violations.
- Analyzed 17d-2 and RSA agreements.
- Participated in FINRA-industry committee meetings and industry outreach programs.
- Processed statutory disqualification recommendations and represented FINRA at eligibility proceedings.
- Represented FINRA at expedited proceedings for violations of FINRA rules.

- Supported FINRA-IOSCO initiatives and its MOUs with foreign regulators.
- Conducted training programs internationally with US SEC.

Managing Director – Member Firm Regulation

- Oversaw NYSE rule development and policy initiatives including: SRO Rule Harmonization, AML/Patriot Act, Outsourcing, ACATS, Electronic Communications, Branch Office Supervision and Structure, Internal Controls, CEO Certification/CCO Designation, Registration and Qualification Examinations, Margin and Net Capital, Bank Sweeps and Foreign Research Analysts.
- Drafted board summaries and made presentations at NYSE Board meetings.
- Participated in Disciplinary Advisory Committee and drafted interpretive request responses for NYSE rules.

Senior Special Counsel – Member Firm Regulation

- Drafted and amended NYSE rules including: IPO Allocations, Research Analyst Conflicts, Branch Office/Supervision and Business Continuity rules.
- Worked with OFAC and SEC to help firms identify potential money laundering issues and to restrict terrorist financing post 9/11.

TORONTO DOMINION SECURITIES

Aug. 2000–June 2001

Senior Associate – Legal and Compliance Department

- Provided legal advice on Regulation D and Rule 144A/Regulation S offerings.
- Approved Rule 144 resales and Rule 10b-18 share buy backs.
- Reviewed Offering Memorandums; Underwriting and Prime Brokerage Agreements.
- Responsible for Control Room/Watch and Restricted List/Insider Trading compliance.

AMERICAN STOCK EXCHANGE

Feb. 1994 – Aug. 2000

Staff Attorney – Enforcements & Investigations Department

- Investigated violations of securities laws and SRO rules by members.
- Conducted OTRs and drafted reports of investigation.
- Conducted contested and settlement disciplinary proceedings against members.

SMITH BARNEY SHEARSON, INC.

June 1993 – Feb. 1994

Market Surveillance Analyst - Compliance Department

- Enforced compliance with firm's information barriers.
- Monitored and surveilled retail and institutional agency and principal trading.
- Responded to SEC and SRO inquiries.

GEORGESON & COMPANY, INC.; D.F. KING COMPANY, INC.

Sept. 1988–June 1992

Senior Account Executive

- Liaison for corporations and shareholders regarding corporate governance issues; and assisted on proxy fights and tender offers for corporate activists and listed companies.
- Liaison with NYSE specialists (n/k/a DMM) and floor brokers for listed companies to provide market color on daily trading activity. Interfaced with custodian banks, investment advisers, and depositories in preparing beneficial ownership reports for use in proxy fights.
- Monitored trading in listed companies' securities versus 13F filing positions to determine potential changes in shareholder ownership. Communicated with risk arbitrageurs regarding views on pending mergers.

EDUCATION**FORDHAM UNIVERSITY SCHOOL OF LAW****L.L.M.: BANKING, CORPORATE AND FINANCE LAW****NEW YORK LAW SCHOOL****Juris Doctor****NEW YORK UNIVERSITY****B.A., ECONOMICS****BAR ADMISSIONS/CERTIFICATIONS**

- Member of the New York and Connecticut Bars
- ACAMS-Certified Anti-Money Laundering Specialist
- Arbitrator:
 - Fellow, Chartered Institute of Arbitrators
 - FINRA
 - New York International Arbitration Center
 - International Institute for Conflict Prevention & Resolution
 - National Futures Association

PUBLICATIONS

"CAUTIONARY NOTES FOR SUPPLY CHAIN MANAGERS & OTHERS INVOLVED in GLOBAL SOURCING & PARTNERSHIPS (HUMAN TRAFFICKING & MODERN SLAVERY CONDITIONS RAISE REPUTATIONAL RISKS)", GOVERNANCE & ACCOUNTABILITY INSTITUTE, JANUARY 2018.

"SUSTAINABILITY DISCLOSURES in the EU," INSIGHTS, THE CORPORATE & SECURITIES LAW ADVISOR, VOLUME 31, NUMBER 8, AUGUST 2017.

"SUSTAINABILITY DISCLOSURES in the EU: IMPLEMENTATION of the 2014 EU NON-FINANCIAL REPORTING DIRECTIVE," ABA, SPRING 2017.

"ACCOUNTING for TRADE: PRESIDENT TRUMP and the "GEOPOLITICAL BALANCE SHEET," NYU-GLOBAL AFFAIRS, PERSPECTIVES ON GLOBAL ISSUES, SPRING 2017.

VOLUNTEER/FELLOW/ASSOCIATE

- FLETCHER NETWORK for SOVEREIGN WEALTH and GLOBAL CAPITAL
- THE BRETTON WOODS COMMITTEE
- UN NGO COMMITTEE TO STOP TRAFFICKING IN PERSONS
- INTERFAITH CENTER on CORPORATE RESPONSIBILITY
- FOREIGN POLICY ASSOCIATION