



Recruiting ▾

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PAIGE SHOEMAKER (00899502) ▾

Job Requisitions Preferences

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 \(20\)](#)

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

Forwarded 0	Invited To Apply 0	New 20	Review 0	1st interview 0	2nd Interview 0	Offer 0	Ready to Hire 0	
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Candidates :View all candidates (10)

Action ▾ 0 Selected

[Filter Options](#)

- [Gwynn Vrostek](#)
- [Jay Fant](#)
- [Kevin Rosen](#)
- [Linda Charity](#)
- [Lonnice Salimone](#)
- [Nichelle Thomas](#)
- [Rene Lee](#)
- [Richard Burns](#)
- [Richard Stone](#)
- [Scott Williams](#)

Kevin D. Rosen (External Candidate)

[305-379-9115](#) [✉ kdrstgov@gmail.com](mailto:kdrstgov@gmail.com) [Cover Letter](#) [Resume](#)

Application

* Status:

Country: United States

Attachments to be included in all Job Submissions: [Submission Attachments](#) 1 attached

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

Vacancy Source: People First

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 ?

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 ?

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 organizz investigators, human resources staff, and other authorized employees of Florida si 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 applica

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

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.)?

Will you now or in the future require sponsorship for

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.

Please see my attached resume for details on: 3 years experience with Florida Department of Banking and Finance. 16 years experience with Financial Industry Regulatory Authority. Approaching 2 years experience in private practice.

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?

No

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

N/A

✓ **Periods of Employment**

Shutts & Bowen LLP

Partner, Financial Services Practice Group, and Cybersecurity and Data Privacy Taskforce

✓ **Details**

Name of Employer*	Shutts & Bowen LLP
Your Job Title*	Partner, Financial Services Practice Group, and Cybersecurity and Data Privacy
Currently Employed*	Yes
Start Date*	10/17/2016
End Date*	MM/DD/YYYY
Hours Per Week*	40+
Employer's Address*	West Palm Beach, Florida
Supervisor's Name*	
Supervisor's Phone Number*	
Duties and Responsibilities*	* Practice law in securities and financial regulation, including anti-money laundering, transnational financial cybercrime, cybersecurity, privacy, and cryptocurrencies* F in connection with government and self-regulatory organization financial and securities examinations, investigations, and enforcement proceedings* Provide advice and : institutions and companies in protection from transnational financial cybercrime a: email account takeover, business e-mail compromise, wirefraud, network intrusion schemes, and hacking* Direct digital forensics investigations in connection with s: breaches and assist clients with incident response and remediation* Deliver spea engagements and training on cybersecurity, transnational financial cybercrime, pr cryptocurrencies, at industry, legal, academic, and law enforcement conferences
Reason For Leaving*	N/A
Your name, if different during employment*	

Nova Southeastern University Shepard Broad College of Law

Adjunct Professor of Law

✓ **Details**

Name of Employer*	Nova Southeastern University Shepard Broad College of Law
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Your Job Title* Adjunct Professor of Law
Currently Employed* Yes
Start Date* 01/01/2017
End Date* MM/DD/YYYY
Hours Per Week* 1+
Employer's Address Fort Lauderdale, Florida
Supervisor's Name
Supervisor's Phone Number
Duties and Responsibilities* * Design and teach course on cybersecurity law and digital forensics investigation regulatory and judicial framework for the investigation and prosecution of cybercrimes, secret theft, malicious data destruction, and identity theft crimes* Teach the state constitutional framework governing electronic surveillance and privacy in cyberspace
Reason For Leaving* N/A
Your name, if different during employment

Financial Industry Regulatory Authority

Senior Regional Counsel and Associate Regional Director

1
0

Details

Name of Employer* Financial Industry Regulatory Authority
Your Job Title* Senior Regional Counsel and Associate Regional Director
Currently Employed* No
Start Date* 04/01/2000
End Date* 10/03/2016
Hours Per Week* 40+
Employer's Address Boca Raton, Florida
Supervisor's Name
Supervisor's Phone Number
Duties and Responsibilities* * Investigated brokerage firms and associated persons for potential violations of federal laws and rules, including wire fraud, business e-mail compromise, cybersecurity, anti-money laundering, investment fraud, misrepresentation, suitability, unauthorized trading, and supervision * Directed teams of investigators and examiners on the collection and preservation of physical and electronic evidence to support charges for violations and rules * Trained investigators and examiners on best practices to take on-the-record of witnesses and the collection and preservation of physical and electronic evidence * Examined witnesses on-the-record, recommended charge prosecuted enforcement actions, prepared discovery, conducted hearings, and negotiated settlements * Appointed and served as FINRA's Regulatory Specialist on Cybersecurity and Privacy * Appointed and served on FINRA's Cybersecurity and Information Technology Disposition Group * Rendered legal opinions and investigative guidance on cyber investigations, examinations, findings, recommendations, and enforcement actions in the financial industry, legal, academic, and law enforcement conferences on cybersecurity, financial cybercrime, privacy, and wire fraud * Built and managed high performing teams that delivered exceptional customer service to customers and constituents * Developed highly collaborative working relationships with stakeholders and customers * Received President's Awards and other FINRA Awards for demonstrating exceptional leadership, management, and achievement of business goals and objectives
Reason For Leaving* Offered Partnership at Law Firm
Your name, if different during employment

Moody, Jones, Montefusco & Krause, P.A.

Attorney

Details

Name of Employer* Moody, Jones, Montefusco & Krause, P.A.
Your Job Title* Attorney
Currently Employed* No
Start Date* 09/01/1998
End Date* 03/31/2000
Hours Per Week* 40+
Employer's Address Fort Lauderdale, Florida
Supervisor's Name

Supervisor's Phone Number

Duties and Responsibilities*

* Represented automotive finance lenders in breach of lease and retail installment wrongful repossession, defamation of credit, unfair and deceptive trade practices, business and tort disputes* Drafted pleadings, conducted research, prepared disc conducted and defended depositions, drafted motions and memoranda, presented in court, and negotiated settlements

Reason For Leaving*

Offered Senior Attorney Position at FINRA

Your name, if different during employment

Florida Department of Banking and Finance

Senior Attorney

▼ Details

Name of Employer* Florida Department of Banking and Finance
Your Job Title* Senior Attorney
Currently Employed* No
Start Date* 09/01/1995
End Date* 09/01/1998
Hours Per Week* 40+
Employer's Address Tallahassee and Fort Lauderdale, Florida
Supervisor's Name
Supervisor's Phone Number

Duties and Responsibilities*

* Represented the Department in disciplinary proceedings against securities firms investment advisers, retail installment lenders, mortgage lenders, and mortgage t Analyzed laws and rules, examined witnesses on-the-record, recommended char prosecuted cases, prepared discovery, conducted hearings, and negotiated settle Provided legal and investigative advice to directors, managers and investigators * taking testimony and collection of evidence

Reason For Leaving*

Offered Position in Private Law Firm

Your name, if different during employment

▼ **Formal Education**

Nova Southeastern University Shepard Broad College of Law

Fort Lauderdale

▼ Details

Name of School* Nova Southeastern University Shepard Broad College of Law
Location* Fort Lauderdale
Start Date* 09/01/1992
End Date 05/15/1995
Course of Study Juris Doctorate
Degree Earned (transcripts may be required)* Doctorate
Credit Hours – Quarter
Credit Hours – Semester

University of Florida

Gainesville

▼ Details

Name of School* University of Florida
Location* Gainesville
Start Date* 09/01/1988
End Date 05/15/1992
Course of Study Bachelor of Science in Business Administration, Finance
 Bachelors

Degree Earned
(transcripts may be required)
Credit Hours – Quarter
Credit Hours – Semester

▼ **Language Skills**

English
Fluent

▼ Details

Language*	English
Speaking Proficiency	Fluent
Reading Proficiency	Fluent
Writing Proficiency	Fluent

▼ **License, Registration or Certification**

Florida Bar
0054161

▼ Details

License, Registration or Certification*	Florida Bar
Number	0054161
State Licensing Agency	Florida
Received	MM/DD/YYYY
Expires	MM/DD/YYYY

▼ **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 ▼

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KEVIN D. ROSENkdrstgov@gmail.com

EDUCATION**Nova Southeastern University Shepard Broad College of Law**

- Juris Doctorate

The University of Florida

- Bachelor of Science in Business Administration, Finance

Financial Industry Regulatory Authority

- Inspired to Lead Program
- Accelerated Leadership Development Program

Center for Creative Leadership

- Leadership Development Program (LDP)®

Financial Industry Regulatory Authority Institute and the Wharton School of Business

- Certified Regulatory Compliance Professional (CRCP)

International Association of Privacy Professionals

- Certified Information Privacy Professional/United States (CIPP/US)

Access Data Digital Investigation Certification: ACE®

- Certified Examiner – Forensic Toolkit® (FTK) Technology

PROFESSIONAL ACTIVITIES

- Florida International Bankers Association Operations and Technology Committee Member
- Financial Institution Security Association Board Member
- Florida Securities Dealers Association Committee Chair on Financial Literacy
- Securities Industry and Financial Markets Association Compliance and Legal Society Member
- Florida Bar Committee Member on Technology
- Florida Department of Law Enforcement Southeast Regional Domestic Security Task Force, Cybersecurity Working Group Member
- American Bar Association Cyberspace Law Committee Member
- International Association of Privacy Professionals Member
- Sedona Conference Working Group 11 on Data Security and Privacy Liability Member

PROFESSIONAL EMPLOYMENT**Shutts & Bowen LLP**

Partner, Financial Services Practice Group, and Cybersecurity and Data Privacy Taskforce
Miami and West Palm Beach, Florida, October 2016 – present

- Practice law in securities and financial regulation, including anti-money laundering compliance, transnational financial cybercrime, cybersecurity, privacy, and cryptocurrencies
- Represent clients in connection with government and self-regulatory organization financial and securities-related examinations, investigations, and enforcement proceedings
- Provide advice and assist financial institutions and companies in protection from transnational financial cybercrime associated with email account takeover, business e-mail compromise, wire fraud, network

- intrusions, phishing schemes, and hacking
- Direct digital forensics investigations in connection with suspected data breaches and assist clients with incident response and remediation
- Deliver speaking engagements and training on cybersecurity, transnational financial cybercrime, privacy, and cryptocurrencies, at industry, legal, academic, and law enforcement conferences

**Nova Southeastern University Shepard Broad College of Law
Adjunct Professor of Law**

Fort Lauderdale, Florida, January 2017 – present

- Design and teach course on cybersecurity law and digital forensics investigation
- Teach the regulatory and judicial framework for the investigation and prosecution of cybercrimes, trade secret theft, malicious data destruction, and identity theft crimes
- Teach the statutory and constitutional framework governing electronic surveillance and privacy in cyberspace

**Financial Industry Regulatory Authority (FINRA)
Senior Regional Counsel, FINRA Department of Enforcement
Associate Regional Director, FINRA Office of Dispute Resolution**
Boca Raton, Florida, April 2000 – October 2016

- Investigated brokerage firms and associated persons for potential violations of laws and rules, including wire fraud, business e-mail compromise, cybersecurity, anti-money laundering compliance, investment fraud, misrepresentation, suitability, unauthorized trading, sales practice abuse, and supervision
- Directed teams of investigators and examiners on the collection and preservation of physical and electronic evidence to support charges for violations of federal laws and rules
- Trained investigators and examiners on best practices to take on-the-record testimony of witnesses and the collection and preservation of physical and electronic evidence
- Analyzed federal laws and rules, examined witnesses on-the-record, recommended charges, litigated and prosecuted enforcement actions, prepared discovery, conducted hearings, and negotiated settlements
- Appointed and served as FINRA's Regulatory Specialist on Cybersecurity and Privacy
- Appointed and served on FINRA's Cybersecurity and Information Technology Disposition Group
- Rendered legal opinions and investigative guidance on cybersecurity investigations, examinations, findings, recommendations, and enforcement actions
- Lectured at industry, legal, academic, and law enforcement conferences on cybersecurity, transnational financial cybercrime, privacy, and wire fraud
- Built and managed high performing arbitration teams that delivered exceptional customer service to customers and constituents
- Fostered highly collaborative working relationships with stakeholders and customers
- Received FINRA President's Awards and other FINRA Awards for demonstrating exceptional leadership, management, and achievement of business goals and objectives

**Moody, Jones, Montefusco & Krause, P.A.
Attorney**

Fort Lauderdale, Florida, 1998 – 2000

- Represented automotive finance lenders in breach of lease and retail installment contracts, wrongful repossession, defamation of credit, unfair and deceptive trade practices, and other business and tort disputes
- Drafted pleadings, conducted research, prepared discovery, conducted and defended depositions, drafted motions and memoranda, presented oral argument in court, and negotiated settlements

**Office of the Comptroller, Florida Department of Banking and Finance
Senior Attorney**

Tallahassee and Fort Lauderdale, Florida, 1995 – 1998

- Represented the Department in disciplinary proceedings against securities firms and brokers, investment advisers, retail installment lenders, mortgage lenders, and mortgage brokers
- Analyzed laws and rules, examined witnesses on-the-record, recommended charges, litigated and prosecuted cases, prepared discovery, conducted hearings, and negotiated settlements
- Provided legal and investigative advice to directors, managers and investigators
- Trained staff on taking testimony and collection of evidence

PROFESSIONAL SPEAKING ENGAGEMENTS

- Law Firm Cyber Crime, 2018 Florida Bar Annual Convention, June 2018
- Bitcoin, Cryptocurrencies, Regulation and Law Enforcement, Financial Institution Security Association, United States Secret Service, April 2018
- The Convergence of AML, Cybersecurity and Cryptocurrencies, 2018 AML Conference, Florida International Bankers Association, March 2018
- Emerging Trends in Transnational Financial Cyber Crime, Cryptocurrencies and Online Safety, Valencia College School of Public Safety, February 2018
- Emerging Trends in Transnational Financial Cyber Crime, Cryptocurrencies and Online Safety, Orange County Bar Association, February 2018
- Transnational Financial Cyber Crime, Cryptocurrencies and Online Safety, FINRA, January 2018
- Demystifying Cybersecurity: Effective Practices to Help Strengthen Your Program, FINRA South Region Compliance Seminar, December 2017
- Virtual Currency Regulation and Enforcement, ACAMS 2017 AML/Fraud Conference, November 2017
- Transnational Financial Cybercrime, ACG Capital Connection, November 2017
- Cybersecurity and Cybercrime – What Credit Unions Need to Know, American Institute of Certified Public Accountants – Conference on Credit Unions, October 2017
- Economic Impact of Financial Cybercrime, Oklahoma Council on Economic Education, October 2017
- Protecting the Investing Public and the Securities Industry from Transnational Financial Cybercrime, and Current Trends in Cybersecurity Regulation and Enforcement, 2017 PIABA Securities Law Seminar, October 2017
- Transnational Financial Cybercrime, Identity Theft and Online Computer Safety for Teens, William T. Dwyer High School – Palm Beach Gardens, September 2017
- Bitcoin Investigations, Miami Financial Crimes Regional Workshop – Florida International Bankers Association, August 2017
- 17th Annual CL@B 2017 Financial Technology and Innovation Conference, August 2017
- Florida International Bankers Association & Homeland Securities Investigations Miami Financial Crimes Regional Workshop, August 2017
- Hospitality Industry Technology Exposition and Conference (HITEC Toronto) Key Note Speaker, June 2017
- Florida Office of Financial Regulation & North American Securities Administrators Association Broker-Dealer Examination & Registration Annual Training, June 2017
- Florida Department of Law Enforcement Southeast Regional Domestic Security Task Force, June 2017
- Broward County School Teachers and Faculty, *Seasons of Learning* Series, June 2017
- Miami-Dade Beacon Council Technology Committee Meeting, May 2017
- Financial Institution Security Association and Broward Economic Crime Association, May 2017
- Financial Markets Association 2017 Securities Compliance Seminar, April 2017
- Cleveland Marshall College of Law, Cybersecurity and Privacy Protection Conference, April 2017
- Florida International Bankers Association, April 2017
- Florida Securities Dealers Association Industry Outreach Program, March 2017
- American Resort Development Association (ARDA) World, March 2017

- Financial Institution Security Association, United States Secret Service Miami Field Office, January 2017
- Hillsborough County Bar Association Securities Law Section, December 2016
- SIFMA Compliance & Legal Society St. Petersburg Breakfast, November 2016
- University of Miami, Third Annual Privacy and Data Security Summit, October 2016
- FINRA Department of Enforcement Annual Conference, September 2016
- Georgetown Law, 4th Annual Cybersecurity Law Institute, May 2016
- Cleveland-Marshall College of Law, Cybersecurity and Privacy Protection Conference, April 2016
- American Bar Association, Cyberspace Law Institute and Winter Working Meeting, January 2016
- Sedona Conference Working Group 11 Data Security and Privacy Liability Annual Meeting, December 2015
- FINRA Department of Enforcement Annual Conference, November 2015
- International Association of Financial Crimes Investigators Florida Annual Conference, October 2015
- University of Miami School of Law, Investor Rights Clinic, September 2015, January 2015, and August 2014
- University of Miami School of Law, Broker-Dealer Class, September 2015
- FINRA Half-Day Compliance Boot Camp, June 2015
- Financial Institution Security Association, United States Secret Service Miami Field Office, January 2015
- United States Secret Service Electronic Crimes Task Force, October 2014
- FINRA Half-Day Compliance Boot Camp, August 2014
- FINRA District Compliance Meeting, June 2014
- National Association of Legal Assistants, December 2012
- University of Miami School of Law, Investor Rights Clinic, November 2012 and April 2012
- FINRA Member Regulation, Southeast Region, July 2012, April 2012 and March 2012
- Florida Office of Financial Regulation, February 2011
- Florida Institute of Certified Public Accountants, December 2010
- Florida International University School of Law, Investor Advocacy Clinic, September 2010
- North American Securities Administrators Association, CRD/IARD Training, May 2009
- Florida Office of Financial Regulation, June 2008

REFERENCES

- Robert Villanueva, Retired U.S. Secret Service and Founder of U.S. Secret Service Cyber Intelligence Section, and Executive Vice President, Q6 Cyber
- Konstantinos "Gus" Dimitrellos, Retired U.S. Secret Service and Supervisor of All U.S. Secret Service Electronic Crimes Taskforces, and President, Cyber Forensics
- Enrique A. Fernandez, Senior Vice President and Director of Fraud and Security, Florida Community Bank
- Sergio Piñon, Senior Vice President, Director of Security, Privacy Officer, and Information Security Officer, Ocean Bank
- David B. Klafter, Chief Counsel, Department of Enforcement, FINRA
- Manly Ray, Regional Director, Office of Dispute Resolution, FINRA
- Yvette Panetta, Deputy Regional Director, Department of Member Regulation, FINRA
- The Honorable Ari Abraham Porth, Circuit Court Judge, 17th Judicial Circuit, Florida

(contact information for references available upon request)