



COMMISSIONER OF FINANCIAL REGULATION - 43004009

(37902)View Details

Job Postings (0)

Status : Open

Hiring Manager : SHERRI BRALEY
Age : 0d

Talent Pipeline Hide Talent Pipeline

View active candidates (22)

View all candidates (23)

Forwarded 0	Invited To Apply 0	New 22	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

Enter Applicant Name

- Name
- Gwynn Wrostek
- Jay Fant
- Kevin Rosen
- Linda Charity
- Lonnie Salmons
- Nichelle Thomas
- Renee Lee
- Richard Burns
- Richard Stone
- Rose Schindler

Rose Schindler (External Candidate)

5613222979 | rose.schindler@gmlaw.com | Cover Letter | Resume

Application

Status: New

Country: United States

Attachments to be Included in all Job Submissions: Submission Attachments 0 attached

Attachments Added After Submission: Attach a document

Vacancy Source: Social Networking Website

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 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 Yes

Interview Result overduelinterviews

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.

Private Sector law Experience practicing securities law

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.

14 years with FINRA as Vice President and Regional Director
8 years with the Securities and Exchange Commission, including 4 years with Miami Regional Office where I was first assistant Regional Director, then Associate Regional Director

Periods of Employment

US SEC

Enforcement Attorney

Details

Name of Employer* US SEC
Your Job Title* Enforcement Attorney
Currently Employed* No
Start Date* 09/03/1985
End Date* 08/22/1989
Hours Per Week* 40 plus
Employer's Address 444 So. Flower St.
Supervisor's Name Gary Lloyd
Supervisor's Phone Number 3239653998
Duties and Responsibilities* Investigate securities law violations
Reason For Leaving* Moved to St. Louis
Your name, if different during employment

AG Edwards & Sons

Litigation counsel

Details

Name of Employer* AG Edwards & Sons
Your Job Title* Litigation counsel
Currently Employed* No
Start Date* 08/28/1989
End Date* 08/22/1992
Hours Per Week* 40 plus

Employer's Address 1 No. Jefferson
 Supervisor's Name Steve Sneeringer
 Supervisor's Phone Number Firm is closed
 Duties and Responsibilities* Arbitration and Mediation
 Reason For Leaving* Moved to Florida
 Your name, if different during employment

US Securities Exchange Commission

Associate Vice President

▼ Details

Name of Employer* US Securities Exchange Commission
 Your Job Title* Associate Vice President
 Currently Employed* No
 Start Date* 09/01/1992
 End Date* 09/02/1996
 Hours Per Week* 40 plus
 Employer's Address 1200 Brickell Avenue
 Supervisor's Name Charles Senator
 Supervisor's Phone Number 305 9826300
 Duties and Responsibilities* Supervise Regulatory, enforcement and Litigation units for Southeast Region
 Reason For Leaving* To accept FINRA position
 Your name, if different during employment

FINRA

VP and Regional Director

▼ Details

Name of Employer* FINRA
 Your Job Title* VP and Regional Director
 Currently Employed* No
 Start Date* 09/09/1996
 End Date* 02/22/2010
 Hours Per Week* 40 plus
 Employer's Address 5200 Town Center Rd.
 Supervisor's Name George Friedman
 Supervisor's Phone Number 2128584200
 Duties and Responsibilities* Manage Southeast Regional of Dispute Resoution
 Reason For Leaving* Took early retirement
 Your name, if different during employment

Buckingham doolittle & Burroughs

Partner

▼ Details

Name of Employer* Buckingham doolittle & Burroughs
 Your Job Title* Partner
 Currently Employed* No
 Start Date* 01/04/2011
 End Date* 05/22/2013
 Hours Per Week* 40 plus
 Employer's Address 5355 Town Center Rd.

Supervisor's Name NA
Supervisor's Phone Number NA
Duties and Responsibilities* Practice Law
Reason For Leaving* Firm Closed Florida office
Your name, if different during employment

Roetzel & Andress PA

Partner

▼ Details

Name of Employer* Roetzel & Andress PA
Your Job Title* Partner
Currently Employed* No
Start Date* 08/01/2013
End Date* 07/31/2014
Hours Per Week* 40 plus
Employer's Address 350 E. Las Olas
Supervisor's Name NA
Supervisor's Phone Number NA
Duties and Responsibilities* Practice law
Reason For Leaving* Commute too long
Your name, if different during employment

Independent Contractor

of counsel

▼ Details

Name of Employer* Independent Contractor
Your Job Title* of counsel
Currently Employed* Yes
Start Date* 01/05/2015
End Date* MM/DD/YYYY
Hours Per Week* 40 plus
Employer's Address 2255 Glades Rd.
Supervisor's Name NA
Supervisor's Phone Number NA
Duties and Responsibilities* practice law in the securities law area
Reason For Leaving* practice on my own
Your name, if different during employment

▼ **Formal Education**

University of Missouri

St. Louis

▼ Details

Name of School* University of Missouri
Location* St. Louis
Start Date* 09/04/1972
End Date 08/09/1974
Course of Study History
 Bachelors

Degree Earned
 (transcripts may be required)*
Credit Hours – Quarter
Credit Hours – Semester 60

Southern Illinois University
 Edwardsville, IL

▼ Details

Name of School* Southern Illinois University
Location* Edwardsville, IL
Start Date* 09/09/1974
End Date 05/07/1976
Course of Study Educational Counseling
Degree Earned Masters
 (transcripts may be required)*
Credit Hours – Quarter
Credit Hours – Semester 60

DePaul University College of Law
 Chicago IL

▼ Details

Name of School* DePaul University College of Law
Location* Chicago IL
Start Date* 09/22/1982
End Date 05/11/2018
Course of Study Law
Degree Earned Other Degree Type
 (transcripts may be required)*
Credit Hours – Quarter
Credit Hours – Semester 90

St. Louis University
 St. Louis MO

▼ Details

Name of School* St. Louis University
Location* St. Louis MO
Start Date* 09/22/1976
End Date 05/05/1978
Course of Study Social work
Degree Earned Masters
 (transcripts may be required)*
Credit Hours – Quarter
Credit Hours – Semester 60

▼ **Language Skills**

There are no items in this section.

▼ **License, Registration or Certification**

Attorney

▼ Details



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3
1

License, Registration or Certification Atomey
Number
State Licensing Agency Missouri Bar
Received 10/22/1985
Expires MM/DD/YYYY



Attorney
139437

2
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▼ Details

License, Registration or Certification Attorney
Number 139437
State Licensing Agency California Bar
Received 10/23/1991
Expires 02/22/2018



Attorney

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▼ Details

License, Registration or Certification Attorney
Number
State Licensing Agency Illinois Bar
Received 09/27/1985
Expires 06/22/2000



JD
0980080

2
1

▼ Details

License, Registration or Certification JD
Number 0980080
State Licensing Agency FL Bar
Received 10/22/1993
Expires MM/DD/YYYY



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

There are no items in this section.

▼ **Knowledge, Skills and Abilities**

Management of People, Knowledge of Securities Laws

▼ Details

Knowledge, Skills and Abilities Management of People, Knowledge of Securities Laws



Items per page: 10

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CURRICULUM VITAE

Rose M. Schindler, Esq.

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rose.schindler@gmlaw.com

Rose M. Schindler is of counsel to Greenspoon Marder, PA. She practices out of the firm's Boca Raton office. She concentrates her practice in the areas of securities regulation, compliance and defense, with specialized knowledge of the investment advisor and securities transactional rules and regulations. Ms. Schindler is a compliance specialist in other areas, including money transmitter, debt specialist, credit repair and vehicle service contracts.

Prior to joining the firm, she served as the Associate Regional Director of the Southeast Regional Office of the Securities and Exchange Commission (SEC). During her time with the SEC, Schindler was responsible for the enforcement and regulatory programs throughout the Southeastern United States.

In addition, Schindler previously served as the Vice President and Director of the Financial Industry Regulatory Authority's (FINRA) Southeast Regional Office of Dispute Resolution. During her time with FINRA, Schindler was in charge of arbitration and mediation programs throughout the Southeastern U.S., the creation of new rules and procedures, and the training of arbitrators throughout the region. Additionally, she was responsible for overseeing the continued expansion of FINRA's Code of Arbitration Procedure.

Active Bar Admissions

- Florida
- California

Professional Employment

- U.S. Securities & Exchange Commission, Los Angeles Regional Office and Miami Regional Office
- In-House Litigation Counsel for A.G. Edwards & Sons, Inc.
- Financial Industry Regulatory Authority (FINRA)
- Private Practice

Education

- J.D., DePaul University College of Law, 1985
- M.S.W., St. Louis University
- M.S. ED. Southern Illinois University
- B.A., University of Missouri

Professional Affiliations

- Association of Securities and Exchange Commission Alumni (ASECA)
- South Palm Beach County Bar Association

Publications

- Schindler, Rose. "Board of Contributors: SEC passes new human rights rule," *Daily Business Review*. October 2012.
- Schindler, Rose. "Role of Corporate Compliance Officer" July 2014.
- Schindler, Rose. Contributor, "The Arbitration Policy Task Force – A Report Card", 2007

Rose M. Schindler, Esq.
2042 NW 19th Way
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(561) 901-0467

June 22, 2018

Financial Services Commission
Office of Financial Regulation
Tallahassee, FL

Dear Commission

I have filed an application for the Office of Financial Regulation Commissioner. I welcome the opportunity to lead the Office. I am well versed in the duties of the Office of Financial Regulation and am confident that I have the skills, knowledge and abilities to be an effective Commissioner. I recently learned of the posting and apologize if my specific dates of prior employments are off slightly.

I noted that the regulations require 5 years of relevant regulatory experience and 5 years of private practice experience. I meet both of those requirements quite easily. For my regulatory experience, I was a V.P. of FINRA and Regional Director of FINRA's Office of Dispute Resolution. I formerly spent 8 years with the U.S. Securities and Exchange Commission, most recently as the Associate Regional Director of the Miami Office of the U.S. Securities and Exchange Commission. As the Associate Regional Director, I managed the Regulatory, Enforcement and Litigation Units.

I have private sector experience of practicing securities law for over 10 years.

I look forward to your consideration of my qualifications. Please feel free to contact me if you wish to discuss my application further.

Very truly yours,



Rose M. Schindler