



# 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 ?

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  
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.)?

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.

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**

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



**Attorney**  
 139437

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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

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▼ 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

Page 2 of 3

**CURRICULUM VITAE**

**Rose M. Schindler, Esq.**

**Direct Phone: (561) 322-2979**

**Direct Fax: (561) 807-7529**

**[rose.schindler@gmlaw.com](mailto: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

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Boca Raton, FL 33431  
(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