

CAROLINE E. WISNIEWSKI

127 Main Street, NW

Lilburn, Georgia

(678) 262-4146

- OBJECTIVE:** Provide full service regulatory compliance consulting and expert witness testimony to registered securities firms and individuals operating in the securities markets.
- EDUCATION:** **Certified Mergers & Acquisitions Advisor (CM&AA) – 2014,**
Certified Financial Crimes Specialist (CFCS) – 2013,
Association of Financial Crimes Specialists
Certified Fraud Examiner (CFE) – 2012,
Association of Certified Fraud Examiners
Certified Securities Compliance Professional (CSCPTM) – 2008,
National Society of Compliance Professionals
Certified Regulatory & Compliance Professional (CRCP™) – 2004,
FINRA Institute/Wharton School of Business
Certified Financial Planner™ (CFP®) - 1996
M.B.A. - 1988, Mercer University, Atlanta, GA
Major: Finance
B.B.A. - 1984, Oglethorpe University, Atlanta, GA
Major: Business Administration
FINRA Series 4, 7, 24, 27, 28, 53, 63, 79, 99
- INDUSTRY:** **FINRA District 7 Committee, Currently serving 2nd elected term**
FINRA Arbitrator – Industry Qualified
National Association of Independent Broker/Dealers,
Former Board Member
FINRA Series 79 Exam Writing Committee
NSCP Small Broker/Dealer Subcommittee
- WORK EXPERIENCE:**
- 2011-present** **SEC Compliance Associates, Inc.**
Position: President & Founder
Provides investment advisory regulatory compliance consulting and registration & licensing services to existing registered investment advisory firms, as well as applicants pending registration approval.
- 2009-present** **Headstrong Properties, LLC**
Position: Managing Member
Commercial real estate management company that currently holds property located in Lilburn, Georgia and of which B/D Compliance Associates, Inc., SEC Compliance Associates, Inc. and Bridge Capital Associates, Inc. are all tenants.
- 2007-present** **Bridge Capital Associates, Inc.**
Position: President & Founder
Operate a fully licensed FINRA member firm that specializes in investment banking, corporate finance and mergers & acquisitions. Responsible for compliance with all applicable FINRA, SEC and state rules and regulations. Market the firm's services to corporate finance professionals internationally.

- 1994-present** **B/D Compliance Associates, Inc.**
Position: President & Founder
Provide broker/dealer regulatory compliance consulting, FOCUS Filings, and expert witness testimony to member firms of the FINRA. Assist individuals in making successful application for membership to the FINRA. Developed examination procedures, trained examiner staff, and drafted securities regulations for the Commonwealth of Puerto Rico.
- 1997-1998** **Jackson Securities Incorporated**
Position: Interim President/Chief Compliance Officer/Chief Financial Officer
Served as acting President & Chief Administrator for this municipal underwriting broker/dealer. Overhauled the entire back office operation to comply with all applicable FINRA, SEC, MSRB, and State regulations. Handled daily business operations. Responsible for all aspects of compliance with regulatory rules and regulations, as well as development and implementation of internal policies and procedures.
- 1990-1994** **National Association of Securities Dealers, Inc. (n/k/a Financial Industry Regulatory Authority)**
Position: Senior Compliance Examiner
Audited the financial and sales practice activities of registered brokerage firms located within the southeastern United States. Received several awards for outstanding achievements.
- 1989-1990** **United States Small Business Administration**
Position: Disaster Loan Officer
Distributed and processed disaster loan applications for individuals and businesses damaged by Hurricane Hugo.
- 1989** **Federal Reserve Bank of Atlanta**
Position: Financial Analyst
Performed cost accounting and unit pricing analyses on check clearing services provided by each of the six branch offices.
- 1987-1988** **Merrill Lynch, Pierce, Fenner & Smith**

Position: Compliance
Liaison with registered representatives, traders, and various stock exchanges. Primary responsibility was to mitigate losses to the firm's inventory accounts when registered representatives placed erroneous trade orders.
- 1985-1987** **Investment Services for America (INVEST)**
Position: Registered Representative
Organized and presented seminars on financial services. Solicited clients. Liaison between customers and mutual fund wholesalers. Worked with upper management in setting and achieving branch office sales goals.
- VOLUNTEER:** 2006 Kidsave International Coordinator & Fundraising Chair; Atlanta Community.
2007 Kidsave International Fundraising Chair; Atlanta Community.
2008 Kidsave International Fundraising Chair; Atlanta Community.
Episcopal Diocese of Atlanta; Centennial Celebration Committee (2006/2007).