

## Objective

Highly qualified Chief Compliance Officer with experience in the industry. Enjoy creative problem solving and getting exposure on multiple projects, and would excel in the collaborative environment.

## Skills

Leadership Derivatives, Options Training and Development.

## Work Experience

### Chief Compliance Officer III

**Larson Financial Group, LLC & Larson Financial Securities, LLC** - 2011 – 2020

- Implemented the firms policies and procedures for both the RIA and the affiliated broker-dealer.
- Ensure compliance with such via testing and internal audits.
- Develop the curriculum for the firms continuing education program.
- Prepare and submit all regulatory filings and respond to all regulatory inquiries.
- Supervise compliance staff and all branch offices of the firm.
- Register all new employees and new branch offices with FINRA via the Web CRD and IARD system and amend U4s as necessary.
- Review as approving principle all advertising, sales literature and sales correspondence.

### Chief Compliance Officer

**American Pharmaceutical Ingredients, LLC** - 2008 – 2011

- Continuously update the Corporate Compliance Program to account for legal and regulatory changes, and conduct internal audits and inspections to confirm companywide compliance.
- Write, review and implement standard operating procedures to ensure compliance with the Federal Food, Drug and Cosmetic Act (&quot;FD&C Act&quot;), Drug Supply Chain Security Act (&quot;DSCSA&quot;), Controlled Substance Act (&quot;CSA&quot;), False Claims Act, Anti-Kickback Statute, the Self-Referral Laws (&quot;Stark&quot;), and various federal and state laws and regulations.
- Communicate and serve as the direct point of contact on behalf of the company in communications with the DEA, FDA, and over 50 other regulators.
- Conduct employee interviews and investigations to assess and identify Companywide risks and prepare corporate compliance strategies for them.
- Review, investigate and respond to reports of non-compliance within the Company and work closely with legal counsel and the CEO to proactively engage compliance risk areas.
- Identify the root cause of compliance violations and implement corrective and preventative action plans.
- Provide compliance reports to the CEO and serve as a resource across the organization on substantive compliance matters.

## Education

Political Science - (UNIVERSITY OF MISSOURI - Columbia, MO)