

CAROLINE E. WISNIEWSKI

*5726 Williamsburg Drive
Norcross, Georgia 30093
(770) 923-9632*

OBJECTIVE: Provide full service regulatory compliance consulting and expert witness testimony to registered securities firms and individuals operating in the securities markets.

EDUCATION: **Certified Securities Compliance Professional (CSCP™) – 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
FINRA Arbitrator

WORK EXPERIENCE:

2009 –present **FINRA District 7 Committee**
Position: Committee Member

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.

CAROLINE E. WISNIEWSKI

(770) 923-9632

Page 2

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)
March of Dimes – Neighborhood Fundraiser

REFERENCES: Available upon request.