CAROLINE E. WISNIEWSKI
127 Main Street, NW
Lilburn, Georgia
(678) 640-2120

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

EDUCATION:
NACD Board Leadership Fellow - 2018
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 (CSCP™) – 2008,
National Society of Compliance Professionals
Certified Regulatory & Compliance Professional (CRCPTM**) – 2004,**
FINRA Institute/Wharton School of Business
Certified Financial PlannerTM **(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 South Region Committee, 3 term member
FINRA Arbitrator, Industry Qualified and Chairperson Qualified
FINRA Series 79 Exam Writing Committee, Former Member
NSCP, Broker/Dealer Forum Member
Securities Experts Roundtable, Board Member
National Association of Corporate Directors (NACD)
NACD Governance Fellowship

ARTICLES:
Limited Corporate Financing Brokers take a Corporate Acquisition Broker Definition
NSCP Currents, May 2016
Should You Be Registered?
ACG Middle Market Magazine Special Report, March 2018

WORK EXPERIENCE:

2009-present **Headstrong Properties, LLC**
Position: Managing Member
Commercial and residential real estate management company that currently holds and manages properties located in Georgia, Florida, Tennessee, Louisiana and New York.

2007-present **Bridge Capital Associates, Inc.**
Position: CEO/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: CEO/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: President/Chief Compliance Officer/Chief Financial Officer
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 and Caribbean. 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 on behalf of the Small Business Administration.

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 bank branch offices located in the Southeastern United States.

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.

BOARDS:

	2020 - present	FinTech4Good, Advisory Board Member
	2018 - present	Hofbrauhaus of Buffalo, Advisory Board Member
	2018 - 2020	Securities Experts Roundtable, Board Member
	2016 - 2019	National Society of Compliance Professionals (NSCP), Member, Broker/Dealer Forum
	2016 – 2018	Oglethorpe University, President’s Advisory Council

VOLUNTEER:

2006 Kidsave International Coordinator & Fundraising Chair; Atlanta Community
2007 Kidsave International Fundraising Chair; Atlanta Community
2008 Kidsave International Fundraising Chair; Atlanta Community
2006 – 2007 Episcopal Diocese of Atlanta; Centennial Celebration Committee