

# MATT C. DWYER, MBA

MCD Consulting  
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## SUMMARY

- Significant regulatory and compliance experience involving Securities Acts of 1933, 1934 and Investment Company Act of 1940
- Directed oversight of investment advisory and broker-dealer affiliates of leading regional financial services firm
- Frequent speaker and presenter at compliance and regulatory conferences
- Has held Series 7, Series 9/10
- Undergraduate instructor in Finance, Economics, Business Law and Statistics
- Education: Masters of Business Administration, Bachelor of Business Administration, Concentration in Finance
- Significant experience coordinating and responding to regulatory examinations and requests in the areas of sales practice supervision, suitability and unauthorized trading

## PROFESSIONAL EXPERIENCE

### **Owner, Consultant**

**2008-present**

MCD Consulting, Bourbonnais, IL

Provide compliance and regulatory solutions such as responses to regulatory requests, independent reviews and advice regarding applicable rules and regulations. Clients include broker/dealers and registered investment advisors (RIAs). Areas of review include sales practice supervision, suitability, branch office supervision and anti-money laundering.

### **Vice President, Internal Audit**

**2004-2007**

Mesirow Financial, Chicago, IL

Lead oversight of investment advisor and broker-dealer affiliates of leading regional brokerage firm. Areas of review include retail and institutional investment management, private equity and hedge funds. Reviewed Mesirow Financial website content for compliance with all SEC, FINRA, CFTC and MSRB rules and regulations. Created and directed annual Branch Office Review Program, which included review of all investment advisory and broker-dealer branch offices on an annual basis. Responded to all regulatory requests and coordinated on-site examinations by state and federal regulators including SEC, FINRA and CFTC. Reported material findings to Mesirow Financial Audit Committee.

**Senior Compliance Examiner** **1999-2004**  
Financial Industry Regulatory Authority (FINRA)- Chicago, IL

Lead and conducted investigations of FINRA firms and representatives opened through arbitration filings, customer complaints and employee terminations. Conducted on-site investigations regarding potential rule violations by member firms and registered representatives in the areas of sales practice supervision, suitability, brokerage operations, brokerage accounting and Anti-Money Laundering. Issued reports of investigation and provided testimony at FINRA and NAC disciplinary hearings. Trained and mentored new employees regarding examination practices.

**Portfolio Accountant** **1998-1999**  
The Northern Trust- Chicago, IL

Conducted detailed valuations of high net worth and institutional client holdings on a monthly, quarterly and annual basis. Worked on special projects regarding improving efficiency and streamlining processes.

**OTHER PROFESSIONAL EXPERIENCE**

**Director, Business Programs** **2007-Present**  
Olivet Nazarene University, Bourbonnais, IL

Recruit and train adjunct instructors to provide instruction in a high-quality manner to graduate and undergraduate students. Develop and manage curriculum in the areas of Corporate Finance, Personal Finance, Economics, Business Law and Statistics. Responsible for creating, managing and coordinating weekend residency program within ONU's Executive MBA Program. Successfully changed delivery of business classes from in-person to online modality.

**Adjunct Professor** **2005-Present**  
Olivet Nazarene University, Bourbonnais, IL

Provide instruction and guidance in Statistics, Finance, Business Law and Economics. Able to explain complex subject matter in a simple, straight-forward, understandable manner. Collaborate with colleagues to conduct research and improve pedagogy.

**Speaker, National Society of Compliance Professionals® (NSCP®)**  
**2010-Present**

Conduct training sessions for conference attendees regarding risk management, branch office supervision, oversight, regulatory responses, anti-money laundering and operations.

## **PUBLICATIONS**

Dwyer, M.C. *Mysteries vs. Puzzles- Recognizing and Addressing the Differences Between Compliance “Mysteries” and “Puzzles”*. Wolters Kluwer Practical Compliance & Risk Management. September-October 2011.

## **EDUCATION**

- **Masters of Business Administration**  
Olivet Nazarene University                      Bourbonnais, IL
- **B.A. in Business Administration**  
Governors State University                      University Park, IL

**Securities Examinations:** Series 7, Series 9/10 (expired)

**Continuing Professional Education:** Approximately five hundred hours of professional education since college on topics including: SEC regulations, ethics, accounting, auditing, written supervisory procedures, supervisory control procedures and anti-money laundering.

## **AFFILIATIONS, ACTIVITIES & ORGANIZATIONS**

- **Member, National Society of Compliance Professionals® (NSCP®)**
- **Speaker, National Society of Compliance Professionals® (NSCP®)**
- **Member, Association of Certified Fraud Examiners ® (ACFE®)**
- **Member, Public Investor Arbitration Bar Association ® (PIABA®)**
- **Director, Bradley-Bourbonnais Regional Chamber of Commerce 2008-2011**
- **Boys Golf Coach 2008-present**  
Bishop McNamara High School- Kankakee, IL
- **Lunch and Learn Mentor 2008-present**  
Kankakee, IL School District 111

## **SERVICES PROVIDED**

Expert witness, litigation support services, case analysis and financial analysis related to investments, securities fraud, accounting fraud, brokerage accounting, brokerage operations and investment banking.