

MATT C. DWYER, MBA

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SUMMARY

- Significant regulatory and compliance experience involving Securities Acts of 1933, 1934 and Investment Company Act of 1940
- Significant experience coordinating and responding to regulatory examinations and requests with the SEC, FINRA and other various regulators
- Experienced provider of compliance solutions and services to financial institutions
- Directed oversight of investment advisory and broker-dealer affiliates of leading regional financial services firm
- Frequent speaker and presenter at compliance and regulatory conferences
- Member of National Society of Compliance Professionals (NSCP®) Broker-Dealer Committee

PROFESSIONAL EXPERIENCE

Owner, Consultant

MCD Consulting, Bourbonnais, IL

2008-present

Provide compliance and regulatory solutions such as responses to regulatory requests, independent reviews and advice regarding applicable rules and regulations. Clients include brokerage firms, hedge funds and investment advisers. Areas of review include annual testing, conflicts of interest, financial operations, supervision, suitability, branch office operations and anti-money laundering.

Vice President, Internal Audit

Mesirow Financial, Chicago, IL

2004-2007

Lead oversight of investment advisor and broker-dealer affiliates of leading regional brokerage firm. Areas of review include retail and institutional investment management, financial operations, private equity and hedge funds. Reviewed Mesirow Financial website content for compliance with all applicable 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. 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.

OTHER PROFESSIONAL EXPERIENCE

Adjunct Professor

2005-present

Olivet Nazarene University, Bourbonnais, IL

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

Director, Business Programs

2007-2012

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.

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.

RESEARCH & PUBLICATIONS

Dwyer, M.C. *Planning & Conducting Annual Broker-Dealer Reviews*. NSCP® Currents Journal. December 2013.

Dwyer, M.C. *Preparing for Broker-Dealer Examinations*. Wolters Kluwer Practical Compliance & Risk Management. April-May 2012.

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.

Kotz, H.D. *Financial Regulation and Compliance: How to Manage Competing and Overlapping Regulatory Oversight*. Wiley Financial Services Series. 2016. Quoted on pages 77-83.

PRESENTATIONS

Dwyer, M.C., *Small Firm Decisions: Outsource or Automate?*. National Society of Compliance Professionals Annual Meeting. October 2020 (Virtual).

Dwyer, M.C., *From Reasonably Designed to Perfectly Designed: Best Practices for the Annual Review Process*. Wolters Kluwer Practical Compliance. May 2015 (Webinar).

Dwyer, M.C., Cherrier, K. *What You Need to Know About Suitability and Working with Customers*. National Society of Compliance Professionals. May 2015

Dwyer, M.C., Ringo, W. *Regulatory Trends and Updates*. National Society of Compliance Professionals. April 2013

Dwyer, M.C., Mannon, J. *2012 Investment Adviser Chief Compliance Officer Priorities - Preparing for a Successful Year While Confronting Regulatory Change*. Wolters Kluwer Practical Compliance. March 2012 (Webinar).

Dwyer, M.C., Downing, J. *Conducting Broker-Dealer Compliance Testing and Risk Assessments*. National Society of Compliance Professionals. April 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®)**
- **Golf Coach, Bishop McNamara High School 2010-2014**
Kankakee, IL