

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 Regulatory & Compliance Professional (CRCP) – 2004,**
NASD Institute/Wharton School of Business
M.B.A. - 1988, Mercer University, Atlanta, GA
Major: Finance
B.B.A. - 1984, Oglethorpe University, Atlanta, GA
Major: Business Administration
Certified Financial Planner™ (CFP®) - 1996
NASD Series 4, 7, 24, 27, 28, 53, 63
NASD Arbitrator

WORK EXPERIENCE:

2007-present **Bridge Capital Associates, Inc.**
Position: President & Founder
Operate a fully licensed NASD member firm that specializes in investment banking, corporate finance and mergers & acquisitions. Responsible for compliance with all applicable NASD, 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 NASD. Assist individuals in making successful application for membership to the NASD. 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 NASD, SEC, MSRB, and State Regulations. Handled daily business operations.

1990-1994 **National Association of Securities Dealers, Inc.**
Position: Senior Compliance Examiner
Audited the financial and sales practice activity of registered brokerage firms located within the southeastern United States. Received several awards for outstanding achievements.

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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

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St. Bartholomew's Episcopal Church; Centennial Convocation Committee (2006/2007)

March of Dimes – Neighborhood Fundraiser

REFERENCES:

Available upon request.