

## **Lawrence L. Halpern**

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### **PROFESSIONAL EMPLOYMENT**

**Dec. 2004 - present      Direct Access Partners LLC      Director of Compliance**

Responsible for compliance regulatory risk management involving equity trading, equity institutional sales, and equity research; Assist management in meeting their compliance and business goals, by developing and maintaining compliance policies and associated written supervisory procedures. Develop, implement and maintain effective compliance programs in accordance with applicable laws, regulations and company policies. Analyze new regulatory rule proposals, identify those potentially impacting business and implement any necessary changes. Monitor daily and monthly business activities including equity trading, sales and research. Regulatory exam management and serving as liaison to the SROs to ensure timely responses to all regulatory inquiries, investigations, and litigation matters; oversee the anti-money laundering program. Support new business initiatives by reviewing training, marketing and research materials and procedures, participating in business unit management meetings, and providing advice on regulatory requirements. Assure that appropriate compliance-related training is conducted; develop and deliver Annual Compliance Meetings and training for registered personnel; Draft compliance alerts to educate personnel on regulatory issues, policies and procedures; Provide other guidance to the business as required

**June, 2003 - present      FundAssist LLC      Managing Principal**

Provides consulting services to the financial services industry. These services may include, but are not limited to compliance, sales management, product management, recruiting and training.

**August 1997 - May, 2003      RBC Dain Rauscher (Tucker Anthony)      Managing Director**

Assumed responsibility as Branch Manager of a regional broker. Historically, this branch had been neglected and poorly managed. Within 2 years, have relocated the branch, increased the number from 8 to 15 and have tripled the production, by moving revenues from transaction-based to fee-based.

**February, 1997 - August, 1997      Merrill Lynch      Consultant**

Worked with Financial Consultants in various branches to increase their business.

**September, 1995 to February, 1997      Halpern and Company      Consultant**

Registered Investment Advisor - provided investment advisory, portfolio management and related consulting services to high net worth individuals.

**September, 1984 - May, 1995      Lehman Brothers      Senior Vice President**

#### **Manager, Financial Services Division-**

Responsible for the global distribution of all new issues to the high net worth and mid-sized institutional accounts; implemented the first division wide allocation and tracking system; accounted for over 33% of the revenues of the division

**Division Sales and Marketing Manager, Lehman Division (1991-1993)-** leadership responsibilities for all sales, marketing and business planning efforts for the domestic seven branch, high net worth sales force with gross revenues over \$200 million and 350 salesmen;

**Member, Firmwide Equity Marketing Committee – (1988-1995)** - responsibility for reviewing all equity, equity-linked and convertible underwriting transactions with particular attention to due diligence, sales and marketing requirements.

**Branch Manager, One New York Plaza** (August, 1993- October, 1994) - all leadership and management responsibilities for the largest branch within the Financial Services Division with 70 salesmen and gross revenues over \$60 million.

**Vice President, Sales Manager, 55 Water Street – (1987-1991)** - largest office within Shearson Lehman Brothers with annual gross revenues ranging from \$70 million - \$90 million; senior sales manager with 2 additional sales managers and approximately 125 salesmen reporting to me; leadership responsibilities for all sales and marketing revenues;

**Vice President, Sales Manager, 660 Madison Avenue office;** the branch grew from 15 salesmen to 45 salesmen to become the second largest branch in the Lehman division; revenues reaching \$25 million

**January, 1978 - September, 1984      Merrill Lynch, Pierce Fenner & Smith**

**Sales Manager, One Penn Plaza 1982-1984** - responsible for sales leadership of the branch and general management support of the branch manager. The branch was ranked in the top 15 branches within Merrill Lynch

**Account Executive** - achieved Executive Club after first year and maintained eligibility throughout career. Peak production was over \$500,000 in last full year.

#### **INDUSTRY COMMITTEE**

**1998 – Present                      Series 4/9/10 committee**

**Industry representative** – the committee is composed of representatives from the securities industry and each SRO. The primary task of the committee is to develop and evaluate the Series 4, 9 and 10 examinations.

#### **SECURITIES REGISTRATIONS**

<b>Series 3</b>	<b>Commodities</b>
<b>Series 4</b>	<b>Registered Option Principal</b>
<b>Series 5</b>	<b>Interest Rate (Debt) Options</b>
<b>Series 7</b>	<b>General Securities Representative</b>
<b>Series 12</b>	<b>NYSE Branch Manager</b>
<b>Series 14</b>	<b>NYSE Compliance Principal</b>
<b>Series 15</b>	<b>Foreign Currency</b>
<b>Series 24</b>	<b>NASD Principal</b>
<b>Series 53</b>	<b>MSRB Principal</b>
<b>Series 55</b>	<b>NASD Equity Trader</b>
<b>Series 63</b>	<b>Uniform State Exam</b>
<b>Series 65</b>	<b>Investment Advisor Agent</b>

#### **EDUCATION**

Union Theological Seminary, New York, New York, M. Div., May 1975

Colgate University, Hamilton, New York B.A., May, 1972