

MARK PASSACANTANDO

mpassac@gmail.com ; (617) 388-6350

EXPERIENCE

April 2014 -
Present

d/b/a **MARK PASSACANTANDO CONSULTING**

- Provide strategic consulting and coaching services to wealth management firms in an effort to maximize planned growth opportunities and build brand loyalty.
- Provide expert witness services in investment securities, financial planning, risk management and business valuation cases for law firms throughout the United States which includes strategic analysis, model development and testimony in preparation for arbitration, mediation or court.
- Provide education to undergraduate, graduate and private audiences in the area of personal financial planning, investment management and behavioral finance.

April 2005 -
April 2014

AFFILIATED MONITORS, INC. Boston, MA *Chief Financial Officer/Principal*

- Financial responsibilities for the Company.
- Leadership in authoring, communicating and implementing the Strategic Plan.
- Draft and negotiate customer and employee contracts.
- Senior management leadership role from inception through \$1MM+ in sales.
- Risk management officer in identification, measurement and monitoring on all insurance lines.
- Manage compliance with Federal and State regulations regarding securities laws.
- Liaison with investment, legal and regulatory community on critical corporate issues.
- Develop business and government contacts for business development.

February 2001 -
February 2012

FINANCIAL PLANNING PARTNERS LLC Westwood, MA *Owner/Managing Member*

- Provide comprehensive, fee only financial plans to individuals and businesses.
- Present education and training seminars in the areas of retirement planning and health/disability insurance to the employees of multinational companies.
- Collaborate with State Treasurer, Governor's Office and Securities Division on financial literacy.
- Launch the "first ever" Financial Coaching Program with the Dana Farber Cancer Institute.
-
- Educate attorneys, judges, arbitrations panels, and jurors in the area of investment theory, industry practice standards, securities, banking and insurance regulation and fiduciary standards.
- Author articles on securities regulation for investment advisers, hedge funds and broker dealers.

June 1997 -
January 2001

PANAGORA ASSET MANAGEMENT, INC. Boston, MA *Compliance Officer*

- Manage firm-wide corporate compliance and legal initiatives and enhance critical policymaking.
- Identify, measure and mitigate risk inherent in the Firm's global operations.
- Act as primary Risk Manager for firm's overall operation working with Marsh & McLennan brokerage and several underwriters.
- Coordinate all regulatory exams with the SEC, FINRA, DOL, CFTC, NFA and others.
- Communicate with clients regarding investments, risk attitudes and servicing goals.
- Manage consultant relationships and develop joint solutions on issues affecting client assets.
- Propose formal risk management techniques to the Board of Directors and senior management.
- Invited guest speaker at national conferences on various issues of compliance.
- Develop strategic alliances to promote the Firm's visibility, influence and reputation.
- Author articles for industry publications, press releases and the Firm's newsletter.
- Act as the primary contact with outside legal counsel on Investment Company Act, Advisers Act, ERISA, Exchange Act and various international regulations.

December 1993 -
May 1997

STATE STREET RESEARCH & MGMT. CO. (MetLife) Boston, MA *Director of Compliance*

- Created an effective, dedicated and responsive compliance function from the ground floor.
- Responsible for all aspects of compliance policy, risk management and surveillance.
- Acted as the central liaison between this \$60 billion Registered Investment Adviser/FINRA registered broker/dealer and federal/state regulators as well as various security exchanges.
- Establish systems that promote compliance with mutual fund guidelines with testing and review.
- Conduct timely educational programs for all employees and the Board of Trustees.
- Primary contact for the SEC and FINRA examiners.

- Chair the Firm's Compliance Committee as well as serve as a member of the Firm's Institutional Products Committee, Soft Dollar Committee and Derivatives Committee.
- Invited guest speaker at industry conferences on timely securities-related topics.
- Serve as main liaison with MetLife regarding separate account insurance regulation.

October 1988 -
November 1993

THE BOSTON COMPANY Boston, MA *Senior Audit Officer*

- Conduct compliance, financial and operational compliance analysis within a diversified financial services firm to assess the accuracy and reliability of financial data, adherence to policies, procedures and regulatory requirements while providing controls in safeguarding client and corporate assets. Primary business units included treasury, foreign exchange, mutual funds, trusts and estates, securities lending, options, custody, investment advisory, and commercial real estate.
- Author and present formal reports to senior management that which communicates input, analysis and formal recommendations for improving efficiency and profitability for all business lines.
- Actively plan and delegate assignments by researching business areas, conducting interviews, assessing risks and developing general and detailed objectives.

June 1987 -
April 1988

KOSTIN & COMPANY West Hartford, CT

- Consult with small businesses, limited partnerships and professionals in the areas of investments, taxes and cash flow.
- In-charge responsibility for audits of real estate partnerships and SEC registration statements.

January 1986 -
May 1987

PRICE WATERHOUSE Hartford, CT

- Perform annual audits of Fortune 500 companies Clients including manufacturing, securities broker/dealers, real estate limited partnerships, mutual funds, commercial and savings banks.
- Analyze, interpret and communicate financial statement representations and footnotes.

September 1984 -
December 1986

HARTFORD INSURANCE GROUP Hartford, CT

- Prepare and analyze monthly tax reports, work papers and consolidated tax return.
- Prepare tax portion of operating plan, forecast and strategic budget.

EDUCATION

BOSTON UNIVERSITY, Certified Financial Planner Program - 2000

BOSTON UNIVERSITY, Graduate School of Management
Masters of Business Administration - 1992

UNIVERSITY OF CONNECTICUT, School of Business
Bachelor of Science - 1984

OTHER

Harvard University - Instructor in Personal Financial Planning.
Boston University - Instructor in Personal Financial Planning.
Boston University - Instructor in Investment Analysis & Portfolio Management.
Questrom School of Business - Finalist Judge - Entrepreneurial Contests
Janus Funds/FPA - Finalist Judge - Financial Frontiers Awards
Board of Directors - Financial Planning Association of Massachusetts.
Past President & Chairman - Financial Planning Association of Massachusetts.
Past Chairman - Alliance Forum
Board of Directors/Investment Committee - United States Tennis Association of New England
Board of Directors - Boston University Alumni.
Successfully completed the uniform Certified Public Accountant examination.
Advisory Committee - Investment Company Institute
Previously Series 65, Series 6 and Series 63 licensed.
Editorial board of Institutional Investor publication - Journal of Investment Compliance.
Nationally invited guest speaker on timely compliance issues.
Registered Financial Consultant ("RFC") through International Association of RFCs
Finance Commission - Westwood, Massachusetts
Suffolk University - Consulting Expert - Investor Advocacy Clinic
Member and host of the Boston Area Compliance Group.
Expert quoted in the Investors Business Daily, Boston Globe and Wall Street Journal.

REFERENCES

Available upon request.