**MELANIE L. RYAN, Esq.**

### 9 Cottage Place, Nutley, NJ 07110

**917-346-6547**

## Draco Capital Markets, Inc. – Chief Compliance Officer/Counsel

**New York, NY**

**July 2014 to December 2015**

Responsible for incorporation, regulatory registration and ongoing compliance and legal services for start-up broker dealer.

## Banca IMI Securities Corp. – Director of Compliance, Anti-Money Laundering Officer, Corporate Secretary

**New York, NY April 2001 to July 2014**

Responsible for NYSE, NASD, SEC, FED and NFA regulatory compliance in a bank-owned broker-dealer environment. Functions include updating the Compliance Manual and Supervisory Procedures, reviewing proprietary and customer trading accounts, administering the Anti-Money Laundering training program, facilitating securities lending and repo agreements, documenting institutional prime brokerage clients, advising personnel during investment banking and syndicate transactions, maintenance of restricted and monitored lists, providing guidance on technology intensive regulatory requirements (ACT, OATS, TRACE, Reg SHO, OFAC filtering, etc.), assisting in the development of an in-house equity order management system, conducting annual compliance meetings, providing firm element continuing education, monitoring electronic customer communications, reviewing internal controls to ensure Sarbanes-Oxley compliance, assisting in corporate governance and preparing and recordkeeping of board materials, filing customer complaints, providing guidance on research distribution, responding to inquiries from self-regulatory organizations, coordinating SRO examinations, chairing the new products committee and managing junior compliance, registration and internal audit personnel.

**Dresdner Kleinwort Benson North America LLC - Vice President – Compliance Officer**

**Pasadena, CA and New York, NY**

**January 1994 to April 2001**

Responsible for NYSE, NASD and SEC compliance for a “Section 20” registered broker-dealer, registered investment advisor and private banking operation. Functions included updating the Firm’s Compliance Manual and Supervisory Procedures, reviewing proprietary and customer trading accounts, overseeing AML/OFAC background checks on new counterparties and documenting customer identification, maintaining information barriers during investment banking transactions, supervising the registration and continuing education process, performing annual branch exams and compliance meetings, monitoring electronic communications, responding to customer complaints, managing junior compliance and administrative personnel, responding to inquiries from self-regulatory organizations, participating in the new productions approval process and providing compliance guidance on research and advertising. Experienced in bank/broker-dealer merger integration and front-end/recordkeeping systems conversions.

**The Pilgrim Group - Trading Operations Manager**

**Los Angeles, CA**

**January 1990 to December of 1993**

Responsible for settlement of U.S. Government securities, mortgage-backed derivative products and U.S. domestic equities for mutual fund management company. Corresponded with counter party broker-dealers to adjust settlement figures, P&I differences and miscellaneous trading discrepancies.

**Community Capital Group of Ryan Beck, Inc. - Operations Manager**

**22nd & the Parkway, Philadelphia, PA**

**April 1988 to December 1989**

Supervised operations and order processing staff during on-site IPO’s and merger-conversions of savings & loans and community banks. Prepared registration and marketing materials, including prospectus drafts, slide show presentations and investor brochures.

**Registered Sales Assistant Wire Operator Accounting Clerk**

**Legg Mason Butcher & Singer Security of America Insurance Co.**

## Philadelphia, PA Philadelphia, PA Reading, PA

# April 1987 to April 1988 Oct 1986 to April 1987 May 1986 to October 1986

**Education:**  Temple University, Philadelphia, PA - Graduated 1986 with a Bachelor of Arts in Economics and English

Rutgers University School of Law (Evening Program) – Graduated May 2006, GPA 3.5

Admitted to the Federal Bar and State Bar of New Jersey – June 2007

**Professional Licenses**: Series 7 & 63 (Registered Representative and Uniform Blue Sky), Series 4 (Options Principal), Series 8 (NYSE Supervisory Principal), Series 24 (General Principal), Series 52 & 53 (Municipal Securities Rep & Principal) and Series 14 (Compliance Official)

**Memberships**: New Jersey Bar Association

**Past Industry Service:** New York Stock Exchange Series 14 Committee (This committee creates the Compliance Officer Exam)

FINRA Series 7 Committee (This committee creates the Registered Rep Exam)