



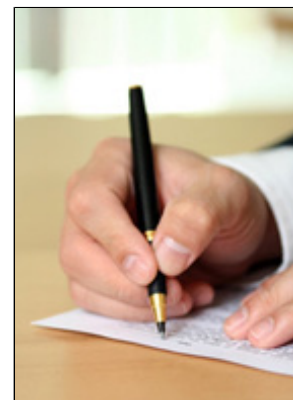
## About our Principal

### **Herbert A. Pontzer** **Managing Principal**

Herbert Pontzer has been associated with the financial services industry for over twenty-three years as a manager, regulator and corporate executive.

Prior to establishing BDadvisor, Herb served as Chief Compliance Officer for two national independent broker-dealer/RIAs. As CCO Herb was responsible for the development and implementation of risk management programs that included auditing, surveillance, complaint handling, training, advertising, regulatory reporting and direct business processing.

Herb's work experience in the corporate sector was preceded by a 15 year career as a regulator with the National Association of Securities Dealers. As a Senior Analyst with the Association's Corporate Financing Department in Washington, DC, he reviewed initial public offerings for compliance with the securities laws. Later, as a Field Supervisor for the NASD's Washington DC and Cleveland District Offices, he was responsible for directing staff examiners during on-site routine examinations and special investigations.



Herb received an AB in Government from Georgetown University and an MBA in Finance from The American University.

## **PROFESSIONAL DESIGNATIONS**

Certified Financial Planner (CFP)

## **LICENSES**

Series 7, 24, 27, 63 and 65.

Florida - Life, Health and Variable Annuity.

## **PROFESSIONAL MEMBERSHIPS**

National Society of Compliance Professionals (NSCP)

The Financial Planning Association (FPA)

Association of Certified Anti-Money Laundering Specialists (ACAMS)