Dr. Lisa L. Smith’s professional experience includes over 20 years of experience in the securities industry, the majority of which has been in a regulatory compliance capacity. She previously served as Vice President, Compliance for Kalos Capital, Inc. Prior roles in compliance include serving as Assistant Director of Compliance with FSC Securities Corporation, a division of AIG Corporation where she was responsible for the compliance and regulatory functions of the broker-dealer.

Prior to this role, she was also Vice President, Senior Compliance Officer for Banc of America Investment Services where she was responsible for managing and maintaining changes to broker-dealer policies and procedures in preparation for approval by the firm’s governance committee as well as numerous internal projects to enhance the firm’s approach to regulatory changes by FINRA and the SEC.

She also assumed the role as a Regulatory Consultant with BISYS Regulatory Services and Glovel Compliance & Health IT Solutions, LLC, advising FINRA-member firms on managing their overall compliance programs, enhancing their policies and procedures as well as assisting with project management and regulatory mandates imposed upon member firms.

Her early experience also included working with FINRA’s Department of Enforcement where she handled complex sales practice and securities fraud investigations involving the more egregious sales practice violations of FINRA rules and regulations and Federal security law.