



Mitchell Atkins, CRCP



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Profile

Mitchell Atkins is a consultant to SEC, MSRB and FINRA-registered financial institutions, their attorneys and their accountants. Mr. Atkins has over 22 years of industry experience. Twenty years of that experience was in various roles at FINRA (formerly NASD) during which time he was a key participant in transformative FINRA and industry initiatives. He founded FirstMark in 2013 and consults to broker-dealers and investment advisers.

Mr. Atkins served as Senior Vice President and Regional Director with overall responsibility for the four districts that comprise FINRA's South Region (home to approximately 850 brokerage firms). The programs he administered covered routine inspections of FINRA member firms, special investigations, FINRA membership applications, MSRB compliance, financial surveillance and risk assessment. In his role, Mr. Atkins oversaw the development of innovative initiatives such as the National Anti-Money Laundering Investigative Unit in 2012. He had a significant role in FINRA's Risk Platform Redesign which transformed the FINRA exam program in 2013. Approximately ten years earlier, he was a member of the Strategic Design Team responsible for the transformation of the NASD examination program. He was a key member of the team that led the NASD/NYSE integration in 2007. In 2005, Mr. Atkins oversaw the successful startup of the Florida District Office of FINRA. Mr. Atkins frequently addresses financial industry groups, both as a panelist and a speaker.

FINRA Experience

FINRA – Financial Industry Regulatory Authority (1993 – 2013)

Senior Vice President and Regional Director, Boca Raton, Florida (2012 - 2013)
Vice President and Regional Director, Boca Raton, Florida (2010 - 2012)
Vice President and District Director, Boca Raton, Florida (2008 - 2010)
District Director, Boca Raton, Florida (2004 - 2008)
Associate Director in Charge, Long Island, New York (2003 - 2005)
Supervisor of Examiners, New Orleans, Louisiana (1997 - 2003)
Examiner, New Orleans, Louisiana (1993 - 1997)

Education, Certifications and Professional Memberships

Bachelor of Science, Finance, Louisiana State University 1993
Certified Regulatory and Compliance Professional, FINRA Institute at Wharton, University of Pennsylvania
Member, SIFMA Compliance and Legal Society
Member, Florida Securities Dealers Association



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- FINRA Membership and RIA Applications
- Broker-Dealer Mergers and Acquisitions
- Strategic Advisory – FINRA Enforcement Actions and SRO Relationship Management
- Supervisory Controls Testing
- Litigation Support and Forensic Investigations
- Anti-Money Laundering Independent Testing