



Mitchell Atkins, CRCP



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Profile

Mitchell Atkins founded FirstMark in 2013 and since then has consulted to SEC, MSRB and FINRA-registered financial institutions, registered investment advisors, and their attorneys. Mr. Atkins has over 24 years of industry experience, 20 of which was in various roles at FINRA (formerly NASD). He was a key participant in transformative FINRA and industry initiatives.

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

Member, National Society of Compliance Professionals



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- FINRA Membership and RIA Applications
- FINRA Broker-Dealer CMA Change Applications
- Strategic Advisory – FINRA Matters
- SRO Relationship Management
- Supervisory Controls Testing
- Anti-Money Laundering Independent Testing