

**Financial Services Industry Expert** providing insightful, resourceful, practical litigation support to lawyers and financial service companies.

- Serve as expert witness, ethics consultant, securities arbitration consultant, forensic analyst and ethical practice consulting, leveraging deep and broad experience in the financial services industry.
- Twenty plus years of broker-dealer experience as broker, assistant manager, branch manager and regional director with additional experience in the independent rep channel and broker-dealer compliance and surveillance and exception reporting software.
- Valued for comprehensive, versatile approach to analyzing complex cases and offer substantive, compelling opinions to support effective legal strategy.

Brokerage:

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WACHOVIA/WELLS FARGO SECURITIES - Boston, MA 1998 - 2000

**Senior Managing Director**

Led #1 Region in firm's (Wheat First/First Union Securities/Wachovia Securities) retail system serving as Regional Director and also as member of firm's Operating and Compliance Committees. Provided leadership and management to over 40 retail branches including the independent representative channel – Profit Formula. Recruited significant numbers of registered representatives and opened numerous branch locations.

SMITH BARNEY - Boston, MA & New Haven, CT 1985 - 1998

**Senior Managing Director | Branch Manager | Asst. Branch Manager | Registered Rep**

E.F. HUTTON - Salem, MA 1981 - 1985

**Registered Rep**

Software/Expert:

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TILKIN GROUP LLC - Hingham, MA 2006 - Present

**Expert Witness | Consultant**

Offering consulting and strategic leadership to lawyers, regulators and companies seeking support in litigation and arbitration.

Leverage intensive background in all aspects of broker-dealer operations including but not limited to; sales practice, recruiting, employment issues, capital markets, operations, compliance, supervision, P&L and training.

SUNGARD, INC. - Hingham, MA 2005 - 2006

**Managing Director**

Upon SunGard's 2005 acquisition of Protegent, became Global Director of SunGard's Compliance Product and Services.

PROTEGENT, INC. - Hingham, MA 2000 - 2005

**Founder and CEO**

Led full lifecycle product development and design, product marketing, sales and business development for financial services compliance software, providing financial service brokerages greater corporate compliance quality controls and automated supervision and surveillance capabilities and automated registered representative supervision, exception reporting, audit and analysis.

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## EDUCATION

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BRANDEIS UNIVERSITY Waltham, MA Master  
of Arts, Management, 1981

ANTIOCH COLLEGE, Yellow Springs, OH  
Bachelor of Arts, Community Organization, 1977

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## PROFESSIONAL AFFILIATIONS

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Member, SIFMA CL, 2008-Present  
Member, Securities Experts Roundtable, 2008-Present

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## LICENSURE

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NASD Series 7, 8, 63, 65 and 3 and Insurance (inactive)

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## PUBLICATIONS

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Tilkin, David, *The Landscape of Broker-Dealer Compliance and Exception Reporting Systems*, PIABA Bar Journal, Volume 17, No. 1, 2010

Tilkin, David. *TARP Money to Stock Brokers*. Aberdeen American News, 2009.

Tilkin, David. *Compliance Technology: From Regulatory Tooth Pulling to Kindred Spirits*. Complanet. 2009

Tilkin, David. *You Implemented Compliance Software*. Complanet. 2009.

Tilkin, David, *The Compliance Software Landscape*, Securities Expert Roundtable 2010

Tilkin, David. *Fire Drill*. Security Daily. 2007.

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## INTERVIEWS and PRESS

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Curtis, Carol E. *The New Risk Management Tool Kit*. Securities Industry News, 2-2-09.

McDonald, Duff. *Brokers Beware*. Time Magazine. 2-21-2003.

McDonald, Duff. *Prevention*. Red Herring. 11-25-2002.

Gaffen, David. *Auditing Your Brokers*. Registered Representative. 11-1-2002.

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## SPEAKING

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Cornell University, School of Law, Securities Law Clinic, "Supervision" 3-5-2010  
Suffolk University, School of Law, Securities Law Clinic, "Suitability & Supervision" 4-5-2011  
PIABA Annual Meeting, "Surveillance Systems" 10-2014  
PIABA Annual Meeting, "Conflicts of Interest" 10-2016