

Chester J. Hebert

- The Compliance Department Inc. is recognized as the leading provider of securities branch office compliance examination services.
- Registered general securities principal, financial and operations principal
- Creator of "The AuditSolutions™" program - a third generation industry standard examination software program

Mr. Hebert has held various roles in the Securities Compliance industry:

President and Chief Operating Officer of SmartAudits Compliance Systems

Senior Vice President and Chief Operating Officer of Regulatory Services Inc., a division of RegEd.com and now a division of FISERV Inc.

Vice President and Chief Compliance Officer of ING Multi-Financial Securities Corporation in Denver, Colorado.

Prior to joining ING Multi-Financial Securities Corporation, Mr. Hebert served as Chief Operating Officer and Chief Compliance Officer for Kohn, Hebert & Associates, Ltd. Mr. Hebert was a 50% owner of the firm. In addition, Mr. Hebert served as Vice President of Fixed Income Consultants Ltd. A nationwide provider of marketing services to securities broker-dealers seeking assistance with municipal bonds, corporate bonds, government bonds, unit investment trusts, and mutual funds. Mr. Hebert was a 50% owner of the firm.

Prior to forming Kohn, Hebert & Associates Ltd., Mr. Hebert served as a registered representative, branch office manager, and national sales manager for other NASD member broker-dealer firms in Colorado, California, and Florida.

Mr. Hebert has been registered in the securities industry for over nineteen years and holds registrations as General Securities Representative, General Securities Principal, Financial and Operations Principal, and licensed insurance producer. Mr. Hebert did his undergraduate studies at the University of West Florida majoring in Finance and Accounting.

Mr. Hebert contributes to the industry through his memberships in:

- The Financial Services Institute
- Broker-Dealer Compliance Council
- The Financial Planning Association
- National Society of Compliance Professionals
- Association of Insurance Compliance Professionals
- Institute of Internal Auditors
- CCO Association
- Financial Services Exchange

Mr. Hebert is a frequent guest speaker to producer groups and industry conferences on topics ranging from securities regulation to sales and marketing of investment instruments. Mr. Hebert has authored numerous continuing education courses on specialized topics for registered representatives. In addition, Mr. Hebert provides expert witness assistance in securities arbitration cases to attorney's representing securities broker-dealers and investment advisers. Mr. Hebert is an elected member of the NASD District Three Committee.

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