



# Jeb Wildschut, CFP®, CFE®

Expert Witness CV

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Strategic professional with a proven track record in managing risk assessments while implementing compliance controls. Proficient at fostering culture of regulatory excellence and ethical conduct. Adept at providing expert regulatory guidance, consulting, interpreting complex financial laws, and ensuring timely, accurate reporting. Committed to staying ahead of evolving industry regulations through research, education, and industry affiliations. Effective in training teams on compliance responsibilities, fostering accountability, and ensuring operational integrity. Over 20 years of experience analyzing complex securities and investment transactions. Expert in tracing, tracking, documenting, verifying, and summarizing intricate financial data to deliver clear, court-admissible reports and confident testimony. Proficient in SEC regulations, with a proven ability to provide precise insights for securities fraud, suitability, and fiduciary duty disputes. Skilled in producing robust documentation and communicating complex financial concepts to legal teams and juries.

## Areas of Expertise

- ◆ Regulatory Compliance
- ◆ SEC & FINRA Regulations
- ◆ Written Procedures
- ◆ Fiduciary Duty
- ◆ Securities Practices
- ◆ Compliance Program Development
- ◆ Due Diligence Requirements
- ◆ Branch Inspections
- ◆ Reg Bi
- ◆ Portfolio Management
- ◆ Compliance Training & Education
- ◆ Supervisory Oversight
- ◆ Financial Crimes
- ◆ Financial Investigations
- ◆ Alternative Investments

## Professional Experience

### Bates Group, LLC Portland, OR Testifying Expert

10/2025 – Present

Retained by both claimants and respondents for SEC, FINRA arbitrations, securities litigation, and court settings. Speaks with clarity and precision and his expert opinions are founded upon his years of experience and thorough understanding of industry rules, standards of professional conduct, and industry practices of the brokerage and investment management industries. Retaining counsel is supported by extensive research, expert witness reports, persuasive testimony, and years of industry, investment advisor, supervisory and fiduciary experience. Strong ability to identify the strengths and weaknesses of a case. Specialized in analyzing investment strategies, portfolio management, and fiduciary duties to deliver clear, authoritative insights in court. Proven track record of translating intricate investment concepts into compelling, evidence-based opinions for legal proceedings.

### Barrington Financial Consulting Group, Denver, CO Securities Litigation Support Consultant

03/2025 – Present

Retained by both claimants and respondents for SEC, FINRA arbitrations, securities litigation, and court settings. Speaks with clarity and precision and his expert opinions are founded upon his years of experience and thorough understanding of industry rules, standards of professional conduct, and industry practices of the brokerage and investment management industries. Retaining counsel is supported by extensive research, expert witness reports, persuasive testimony, and years of industry, investment advisor, supervisory and fiduciary experience. Strong ability to identify the strengths and weaknesses of a case. Specialized in analyzing investment strategies, portfolio management, and fiduciary duties to deliver clear, authoritative insights in court. Proven track record of translating intricate investment concepts into compelling, evidence-based opinions for legal proceedings.

### True West LLC, Denver, CO Senior Compliance Director

04/2025 – Present

Firm's Compliance Director and Lead RIA compliance consultant. Responsible for internal and external training in SEC securities laws. Proven expertise in developing and implementing robust compliance programs for RIAs, ensuring adherence to SEC and state regulations. Skilled in conducting risk assessments, audits, and training to mitigate regulatory exposure and enhance operational integrity. Adept at navigating complex regulatory landscapes, delivering tailored solutions to maintain RIA compliance and client trust. Extensive experience developing and implementing robust

compliance programs to meet SEC regulatory requirements. Adept at conducting audits, training staff, and advising on fiduciary obligations to ensure adherence to industry standards.

**Securities Exchange Commission, Chicago, IL | Denver, CO**  
**Senior Securities Examiner**

11/2015 – 3/2025

Completed 150 investment advisor exams and lead 75+ examinations, contributing to eight enforcement referrals with millions in recoveries. Recognized senior regional expert in private fund operations, compliance, valuation, marketing, and trading. Translated complex financial data into clear, jury-friendly concepts. Extensive experience reviewing investment policies, LPAs, PPMs, prospectuses, WSPs, and internal procedures. Led training for new DRO examiners, served on multiple hiring committees since 2017, and served as primary liaison for DOL and SEC coordination. Designed and delivered SEC examination training for DOL and OCC employees.

- Led and participated in 18 broker-dealer audits, uncovering significant findings, enabling multi-agency referrals.
- Identified fraud, waste, bribery, and conflicts of interest through in-depth examinations.
- Adapted to SEC examinations, reviewing investment advisor activity, and executing national and local initiatives.
- Led complex broker-dealer, private equity, investment advisor, AML, and fraud examinations.
- Served as department lead for valuation, portfolio management, and suitability exams.
- Strong expertise in investment advisor operations, strategy, and regulatory mindset.
- Conducted over 500+ interviews with C-level executives, consultants, and general counsel.

**Department of Labor, Chicago, IL**  
**Financial Investigator**

05/2012 – 11/2015

Led and coordinated investment, health, and retirement plan investigations independently. Drafted comprehensive case summaries, interview reports, records reviews, and investigative analyses using Microsoft Excel and Word. Conducted complex criminal investigations involving health, wire, bank, investment, and mail fraud. Utilized search and seizure procedures, evidence retention, and witness testimony to support cases. Managed felony cases, including hedge funds, Ponzi schemes, tax fraud, and embezzlement, leading to significant recoveries. Collaborated with federal agencies (IRS, FBI, USPIS, OLMS, IL State Securities, DOL OIG) on criminal cases. Provided grand jury testimony, conducted proffers and reverse proffers, and assisted in drafting affidavits, plea bargains, and prosecutor presentations. Researched and applied relevant laws and regulations, presenting findings clearly to supervisors, attorneys, and prosecutors.

- Investigated 17 criminal and 38 civil cases, reviewing \$497M in financial assets for compliance with federal, civil, and criminal statutes.
- Conducted interviews, interrogations, and investigations with suspects, witnesses, executives, and legal counsel to assess business practices and potential fraud.
- Recovered financial assets for victims and ensured regulatory compliance.
- Consistently rated "Exceeds" by supervisor for three consecutive years.
- Authored reports and work papers summarizing investigative findings, financial data, and statistical analyses.
- Presented and defended findings to supervisors, directors, attorneys, and prosecutors.
- Drafted and served 70+ subpoenas to agencies, individuals, and companies.

**Union Bank, San Marcos, CA**  
**AVP – SR Priority Banking Relationship Manager (IAR/Registered Representative)**

04/2010 – 05/2012

Managed complex assignments within tight deadlines with minimal supervision. Conducted monthly audits and examinations to ensure compliance with banking, loan, and investment policies. Analyzed investment performance and cash management systems to optimize client portfolios. Designed, monitored, and managed security portfolios, including bonds, equities, ETFs, mutual funds, and asset-backed lending. Conducted estate, trust, and investment analyses, price comparisons, and fee research for high-net-worth clients. Enforced KYC guidelines and ensured compliance with anti-money laundering regulations. Provided financial planning and investment consultations on federally regulated loans.

- Reviewed \$37M+ in loan contracts, conducted interviews, and assessed environmental and financial compliance.
- Analyzed client accounts using advanced financial tools and applications.
- Grew investment portfolio from \$43M to \$61M in one year while maintaining 99.3% retention rate.
- Advised affluent clients on fraud prevention, including ID theft, financial scams, and internal embezzlement.

**JP Morgan, San Diego, CA**  
**AVP – Small Business Relationship Manager**

05/2009 – 04/2010

Reviewed and validated financial documents for multiple organizations, ensuring accuracy, compliance, completeness, and proper formatting. Partnered with small businesses subcontracting for Department of Defense to uphold financial and regulatory standards.

- Specialized in loan contract review with expertise in detecting falsified tax returns.
- Trained in fraud prevention, including forgery, counterfeiting, check kiting, placement, and structuring.
- Assessed client business policies and procedures to ensure alignment with economic conditions.

**Bank of America, San Diego, CA**  
**AVP – Premier Client Manager (IAR/Registered Representative)**

05/2005 – 04/2009

Examined financial documents, including profit and loss statements, tax returns, and bank records, to identify misrepresentation. Audited securities trading and portfolio management for high-net-worth clients. Analyzed financial data from multiple sources to identify trends and resolve financial issues. Reviewed compliance with financial regulations and industry standards to ensure accuracy and integrity in financial reporting.

- Investigated client accounts and activities totaling over \$115M in assets with Financial Intelligence Unit to detect fraud and money laundering.
- Managed annual reviews and portfolio oversight to ensure compliance and financial integrity.
- Facilitated accurate completion of \$18M in mortgages and \$45M in deposit and investment products.
- Advised executives, board members, and staff on compliance strategies and institutional policies.

## Military Experience

**United States Navy, Coronado, CA**  
**LT-Supply Officer**

01/2012 – 12/2019

Managed ship operations in Seoul, Korea, overseeing \$61M in equipment and leading 29 personnel. Trained in supply management, hazardous material control, contracting, leadership, and expeditionary logistics. Led financial operations, overseeing unit supplies and chemical & biological contamination equipment. Taught personal finance and economics to local high school students.

- Delivered operational and logistics support for South Korea in Global War on Terrorism.
- Trained and mentored sailors on investments and financial concepts through presentations and coaching.

**United States Marine Corps, Camp Pendleton, CA**  
**Sergeant-Logistics & Embarkation Specialist**

06/1996 – 05/2001

Led daily operations for 500-person organization, ensuring seamless planning and coordination. Executed joint operations with U.S. military branches and international forces, including Australian, Saudi Arabian, and Dutch Marines. Leveraged strong interpersonal skills to collaborate across diverse cultures and military units.

- Managed \$900M in government equipment across 15+ countries, including three deployments.
- Implemented comprehensive security measures for Department of Defense assets, maintaining 100% incident-free record over 24 months during high-risk operations.
- Provided VIP protection in Persian Gulf and Africa.
- Demonstrated strong leadership, managing company operations by age 21.
- Managed supply chain functions, asset security, and risk mitigation, ensuring compliance with military regulations and safeguarding sensitive assets.
- Delivered briefings and reports to senior leadership, maintaining operational alignment and contributing to mission objectives.

## Education

**Master of Business Administration in Financial Planning**, California Lutheran University, Thousand Oaks, CA  
**Bachelor of Science in Organizational Leadership**, Biola University, La Mirada, CA

## Certifications

## Professional Development Courses

FinTech | Complex Securities Investigations | Financial Regulations | Securities Regulations | Interviewing Techniques | Economic Crimes and Analysis (DHS) | Disclosure under the Federal Securities Law | Derivatives Market regulation | Dodd-Frank Act

## Awards & Honors

- The Douglas Adams Award – July 2022- Designed a 12-week training program for all new employees covering multiple topics including alternative investments, valuation, marketing, billing, compliance, and interviewing.
- Seven SEC Four Pillars Award - 2019, 2020, 2021, 2022 (2x), 2023, and 2024
- Over 15 SEC individual awards for volunteering, performance, hard work, and having an efficient exam process.
- Received numerous Certificate of Commendations and military awards as recognition for attitude, initiative, dedication, and ability to pick up complex duties with little or no supervision.
- Achieved quarterly and yearly awards (awards of excellence), gold performer, silver performer and many others while at Bank of America; Union Bank ranked in the top 3% in the nation for 2007, Market President Award 2011

## Memberships

- Association of Certified Fraud Examiners
- National Society of Compliance Professionals

## Cases/Citations

[SEC.gov | SEC Charges Private Fund Auditor and Audit Engagement Partner with Improper Professional Conduct](https://www.sec.gov/newsroom/press-releases/2023-65)  
<https://www.sec.gov/newsroom/press-releases/2023-65>

[SEC.gov | SEC Charges Broker-Dealer with Failing to Report Suspicious Transactions](https://www.sec.gov/enforcement-litigation/administrative-proceedings/34-97020-s)  
<https://www.sec.gov/enforcement-litigation/administrative-proceedings/34-97020-s>

[SEC Obtains Emergency Asset Freeze, Charges California Trader with Posting False Stock Tweets](https://www.streetinsider.com/General+News/SEC+Obtains+Emergency+Asset+Freeze%2C+Charges+California+Trader+with+Posting+False+Stock+Tweets/18129414.html)  
<https://www.streetinsider.com/General+News/SEC+Obtains+Emergency+Asset+Freeze%2C+Charges+California+Trader+with+Posting+False+Stock+Tweets/18129414.html>

[SEC.gov | Douglas E. Elstun](https://www.sec.gov/enforcement-litigation/litigation-releases/lr-25191)  
<https://www.sec.gov/enforcement-litigation/litigation-releases/lr-25191>

## Speaking Engagements

- August 2025, Artificial Intelligence in the RIA World: Efficiency, Compliance, and the Regulatory Lens.
- June 2025, AE Wealth Speaker- General SEC Outlook and Compliance Issues. Audience CCOs
- April 2023, SEC Compliance Outreach, Speaker and Panelist on the topic of: Compliance, Supervision and Suitability in IRA, Pension, and Other Retirement Accounts. To Nationwide Compliance Staff
- August 2021, Speaker: Introduction to the Securities Exchange Commission. To the Office of the Comptroller of the Currency
- 2021, 2022, & 2024 Speaker and Panelist on the topic of: Registered Investment Advisors. To the Department of Labor