



Tilkin Group - www.tilkingroup.com - 781-836-4643

David Tilkin is a litigation support and expert witness specialist with over 30 years of experience in the securities industry, having supervised hundreds of brokers and scores of branch managers during his tenure at both Smith Barney and Wheat First/First Union Securities. David has previously maintained a Series 63, 7, 8, 65, and 4 licenses. Management participation included recruiting, training, sales leadership, supervision, new hire due diligence, product due diligence, administrative, litigation, and compliance support. In addition, David served on the Operating and Compliance Committees of First Union Securities as a Regional Director and Senior Managing Director.

Further, he served as the founder and CEO of Protegent, the first company to deliver automated exception reporting, auditing, and sales practice review technology to the financial services industry. In 2005, Protegent was acquired by SunGard, Inc., at which time David became the Global Director of Compliance Products and Services at SunGard as part of the Enterprise Solutions Group.

The Tilkin Group has focused on litigation support and providing expert witness services since 2008. The efforts of the Tilkin Group have supported both private practice attorneys litigating against the securities industry and supported the efforts of financial service firms in their defense of claims. David has testified in numerous cases around a wide array of issues and conflicts and has published multiple articles on the topics of suitability, supervision, and financial services software. David has testified at FINRA arbitrations, AAA, JAMS, the SEC, and numerous judicial venues. Since 2008, he has been retained over 200 times and testified in 71 cases, and has always been qualified as an expert. David has been engaged by broker-dealers, RIAs, in-house counsel, State governments, and private practice attorneys representing private investors, employees, and corporations.

Financial Services Industry Expert providing insightful, resourceful, practical litigation support to lawyers and 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.

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.

FIRST UNION SECURITIES - Boston, MA

1998 - 2000

Senior Managing Director

Led #1 Region in firm's (Wheat First is now Wells Fargo) 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

EDUCATION

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

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

PROFESSIONAL AFFILIATIONS

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

LICENSURE

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

PUBLICATIONS - Additional Articles on LinkedIn Profile

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*. Complinet. 2009

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

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

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

INTERVIEWS and PRESS

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.

SPEAKING

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, "Conflict of Interest" 10-2016