

STAFF DIRECTORY

Joel Blumenschein

joelb@kcdfinancial.com

President

Chief Executive Officer

FINRA and Regulatory Matters

Corporate Business

New Business Initiatives

Broker Relations

Financial Oversight and Reporting

David Wilson

dave@kcdfinancial.com

Chief Compliance Officer

Compliance Oversight

Inquiries / Complaints – Escalated Problem Resolution

Communications with the Public (Advertising)

New Products – Due Diligence and Selling Agreements

Office Audits

Robert Rivera

rob@kcdfinancial.com

Compliance Officer

Hilltop Securities Trading

Hilltop Securities Customer Service Issues

Compliance

Barry Stein

bstrein@kcdfinancial.com

Assistant Compliance Officer

Compliance

Clearing House Trading

Mark Berndt

mark@kcdfinancial.com

Licensing & Registrations

Coordinator

Securities Registration

Agent Insurance Appointments

Annual Renewals

E & O Information

TBD

@kcdfinancial.com

Office Coordinator

Direct and Brokerage Business Workflow

Commission Processing

Commission Specialist

Business Processing

Accounts Receivable / Accounts Payable

Cindi Giesler

reception@kcdfinancial.com

Cindi@kcdfinancial.com

Administrative Assistant

General Office Information

Rep Business processing