

JUDI LAHR

COMPLIANCE SPECIALIST

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Judi Lahr provides efficient service on routine compliance issues as well as immediate and substantive plans and responses for sensitive regulatory matters.

She is an experienced compliance professional, having worked with the Missouri Securities Division, Office of the Missouri Secretary of State, for over 11 years, and serving as the Enforcement Section's investigations manager for roughly six years and as the Division's senior auditor before that. As the investigations manager, Judi provided guidance and mentoring to the investigative staff by advising on, reviewing and enhancing investigators' case analyses, evidence collection, investor/witness interactions and case preparation. Judi designed and executed training and career development programming, working to ensure quality and efficiencies throughout the investigative process. In addition, Judi carried a caseload of investigations while serving as the key liaison with outside law enforcement agencies, government regulators and self-regulatory organizations.

During her tenure with the Securities Division, Judi served on the National Securities Administrators' Association (NASAA) Publications Project Group and NASAA's Broker-Dealer Operations and Investment Adviser Operations Project Groups.

BACKGROUND

Prior to joining the Securities Division, Judi spent 18 years as a legal administrator for a large Kansas City law firm. She also spent 10 years teaching English to international students at the University of Central Missouri, and four years as a broker-dealer agent and an investment adviser representative with a large brokerage firm.

In addition to earning degrees in English and philosophy, Judi received has secured her Series 6, 63 and 65 securities licenses.