

Estee C. Dorfman

Experience

August 2009 to present Dorfman FinOp Services, LLC Lynnfield, MA

Sole Member

- Register as Financial & Operational Principal as required by NASD Rule 1022(b)
- Register as Operations Professional as required by FINRA Rule 1230(b)(6)
- Monthly preparation of Net Capital Computation
- Filing of Monthly/Quarterly Focus, Quarterly SSOI, Quarterly Form Custody, and Annual Schedule 1
- Broker Dealer Bookkeeping
- Exam Preparation (FINRA/SEC)
- Assist with financial aspects of new membership application and continuing membership application
- Interface with regulators, compliance consultants, attorneys and others as needed

October 2008 to present Dorfman & Dorfman, CPAs Lynnfield, MA

Partner

- Review and Compilation of small business financial statements
- Bookkeeping Services to Trial Balance
- Tax Planning and Preparation including individuals, trusts, corporations, partnerships and LLC's
- Payroll Tax Returns, Federal and State

March 2002 to March 2009 Financial Industry Regulatory Authority Boston, MA

Principal Examiner/Regulatory Coordinator

- Review of annual financial statements, Focus Reports and Insite Surveillance
- Conduct Special Financial Examinations of firms
- Provide firms with prompt and accurate answers to regulatory questions
- Review and process Continuing Membership Applications
- Completed Financial and Operational Training Program designed and taught by Fordham University
- Conduct comprehensive compliance examinations of FINRA member firms to determine compliance with applicable FINRA/NASD, SEC and MSRB rules

Education

January 2011 Suffolk University Boston, MA

Master of Science in Accounting

May 2000 Bentley College Waltham, MA

Certificate – Finance with concentration in Financial Planning

May 1995 Bentley College Waltham, MA

Bachelor of Science – Marketing