

George Walz

*Chief Compliance Officer,
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George Walz is Vice President and Chief Compliance Officer of US Wealth Management at BMO Financial Group. He is responsible for the strategy, leadership, and oversight of the delivery of second line compliance risk management programs covering the US wealth management businesses including the private bank, retirement services, trust and custody, broker-dealers, registered investment advisers, and its mutual fund business. George is also active in the leadership and governance of the bank's overall US compliance risk management program.

Prior to joining BMO in April 2014, George Walz was Vice President and Head of the Office of Risk and the Office of Regulatory Programs at the Financial Industry Regulatory Authority (FINRA) in Washington DC. He oversaw FINRA's efforts to identify, prioritize, measure and monitor key risks of broker-dealers and risks to FINRA's mandate of investor protection and market integrity. George also oversaw FINRA's inward-facing operational risk framework to help the regulatory operations functions identify, measure, and manage operational risks that could otherwise inhibit FINRA's ability to meet its mandate. He led and oversaw the development of policies, procedures and regulatory programs used by FINRA's more than 1,200 examiners in its risk based examination programs of business conduct, financial risks and market

conduct areas covering US securities regulations. George joined FINRA in October 1995 as an examiner in the Chicago District Office.

George has spoken at numerous securities industry conferences on topics ranging from regulatory and examination priorities to the development of effective compliance risk management programs. He has also served as a technical expert on risk based supervision of financial intermediaries for the International Monetary Fund.

He is a graduate of Loyola University of Chicago, where he earned a BBA in Finance.