



EDUCATION

American University Washington, DC
Washington College of Law
 Juris Doctor

Santa Clara University Santa Clara, CA
 Bachelor of Science in Commerce with a Concentration in Finance
 Minor in Japanese Language

EXPERIENCE

April 2015 - present **Commissioner of Securities** Honolulu, HI
Deputy Commissioner of Securities/Acting Commissioner of Securities
State of Hawaii; Department of Commerce and Consumer Affairs
Business Registration Division

- Responsible for the overall administrative and operational activities of the Business Registration Division, which provides substantive regulatory oversight of the securities industry and franchises in the State. This includes registering securities firms, individuals, and securities offerings; conducting field exams and directing a statewide investor education outreach program; and investigating and prosecuting violations of the Hawaii Uniform Securities Act and the Franchise Investment Law. The Division also maintains the State’s registry with nearly 200,000 records for public access for all business entities, trademarks, trade names, service marks, and publicity rights.
- Oversee a \$10 million budget and make strategic fiscal decisions to ensure financial efficiency and responsibility.
- Led team to modernize and upgrade internal technology systems, including launching an online portal for all securities filings, franchise filings, and a new case management system.

2012-2015 **Chief Compliance Officer** Honolulu, HI
Cadinha & Co. LLC

- Developed and implemented the Firm’s overall compliance program to ensure adequate policies and procedures were in place to adhere to all applicable federal and state securities laws.
- Established appropriate controls and procedures to address and mitigate regulatory risks and issues relating to all aspects of the Firm, including trading, operations, client accounts, communications, and advertising.

2001-2012 **Securities Enforcement Attorney/Acting Senior Securities Attorney** Honolulu, HI
State of Hawaii; Department of Commerce and Consumer Affairs
Business Registration Division – Securities Enforcement Branch

- July 2011-February 2012: Appointed as Acting Senior Securities Attorney; Responsible for managing the branch, including attorneys, investigators and legal clerks.
 - Investigated, prepared, and prosecuted cases involving violations of Hawaii’s Uniform Securities Act and Hawaii’s Franchise Investment Law.
 - Managed team responsible for the drafting and adoption of the revised Hawaii Uniform Securities Act, Chapter 485A and Chapter 39, Hawaii Administrative Rules.
- Certifications:** FINRA Institute at Wharton School – Completed all coursework and received the designation of Certified Regulatory Compliance Professional, CRCP (2007)

ACTIVITIES

- 2017-present · Appointed Member, North American Securities Administrators Association (NASAA), Various Committees and Project Groups relating to Investor Education for Seniors and Children.
- 2006-2020 · Member, State of Hawaii, Department of Education, Career and Technical Education’s Business Pathway Advisory Council. Led team that developed the finance standards for the Business Pathway.