

Aldo Martinez

Founder at AJM Advisory Services (NYSE - VP retired)

Hillsborough, NJ, US

Been described as a captivating and motivating speaker explaining and influencing in the field of Market Surveillance detecting proving trad

Description

- * Born in Cuba sent to the US as a child alone when Castro regime took power
- * Went to college (St. Peter's NJ) and Law School (Seton Hall NJ) at night while working full time at the NYSE, Spear Leeds & Kellog and back to NYSE
- * Became an attorney at NYSE Market Surveillance then Enforcement divisions (in Regulation)
- * After 3 years promoted to Head the Regulatory Quality Review (or Regulation Auditor) for Market Surveillance
- * After 3 years and after the insider trading scandals of late 1980s promoted to Vice President to Head a Market Surveillance Dept. in charge of 21 staff and built a new department into the world's "gold" standard for the detection and investigation of insider trading, market manipulation and other trading abuses. In 15 years we maximized technology, trained and motivated staff and hired only 1 additional staff to handled a quadrupled increase in trading volume.
- * During this time, represented the NYSE in a network of over 30 regulators across the world collaborating in the Market Surveillance functions - The Intermarket Surveillance Group (ISG) and served as its Chairperson for one cycle bringing technology innovation and increased cooperation.
- * After 15 years placed in charged of two other combined departments to maximize productivity and build staff expertise and cohesiveness. The transformation took place within the first year. Coordinated the Market Surveillance integration of NYSE acquisition of an Options Exchange and absorbed derivative trading surveillance as additional responsibility. Other responsibilities included developing and conducting a Divisional Training Program for staff development and restoring the effectiveness of divisional attorneys.
- * Have trained US Federal agents in securities markets and have participated in panels sponsored by the US SEC
- * After retiring from the NYSE in 2008 founded AJM Advisory Services and have worked in Europe and Australia.
- * Adjunct Professor at St. Peter's College (NJ) of Derivative Markets; Corporate Finance; and Investment Analysis
- * I served or am serving on the following Board of Directors: Junior Achievement NY (representing NYSE); SMARTS Group Inc. (Australia); Capital Markets Research Cooperative Center (Australia); St. Peter's College (NJ) Board of Regents
- * Married, father of 4 adult children, all college educated and professionals aware of how a commitment to integrity, high quality of service and the concern for others will facilitate your well being and happiness.

Availability

Keynote, Panelist, Workshop, Author Appearance, Corporate Training

Industry Expertise

Financial Services, Corporate Leadership, Management Consulting, Education/Learning

Topics

Market Regulation and Investor Confidence, Leadership, Management and How to Motivate A Workforce, Adjunct Professor of Market Derivatives; Investment Analysis and Corporate Finance, Life Coaching - the Role of Education and Perseverance in Making Life's Decisions, Business Ethics

Affiliations

Attorney in NJ and NY and able to practice in front of US Supreme Court. As a member of the NY County Lawyers Association involved with two committees - the Futures and Derivatives and the Securities and Exchange committees

Sample Talks

The Role of Market Regulation and Investor Confidence

A presentation connecting the need for appropriate/reasonable regulation to the confidence of investors in participating in the securities markets, a financial infrastructure so vital to the capital raising process.

Program in Serbia on Fraud Detection and Enforcement

Three day program to share techniques and processes with the relevant Serbian authorities to assist in the training of stock market fraud, market manipulation, insider trading, anti-money laundering and other types of trading abuses.

Accomplishments

Author

Book published: The Unspoken Gift: How an Immigrant Cuban Child Fulfilled his American Dream.

The story of an 11 year old sent by his parents out of Cuba due to Communism as 14,000 other children left, alone without their parents and how he (Aldo) fulfilled his dream and honored his parents' sacrifice of perhaps never seeing him again. A powerful journey of failures and successes - a life well lived but not over yet.

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