

APPLICATION FOR APPOINTMENT – Martin County Construction Industry Licensing Board – Please Print

Type of Member: ☐ Contractor ☒ Consumer ✓

Check One: ☐ Mr. ☒ Mrs. ☐ Ms. ☐ Miss ☐ Dr.

Name: Geraldine Genco Dube

RECEIVED

By Donna Gordon at 10:42 am, Jan 25, 2021

Residence Address: 11971 SE Birkdale Run, Tequesta, FL 33469
Street/City/Zip Code

Mailing Address: same
(if different) Street/City/Zip Code

Commission District in which you reside: 3^{dg} Staff will complete.

Are you available year round to attend meetings? ☒ yes ☐ no If **no**, what months **are** you available?

Telephone numbers: daytime: 561-745-3893 alternate: 561-371-3947 alternate: _____
Area Codes are considered 772 unless you note otherwise.

EMAIL: GGenco@me.com

✚ Are you a Martin County registered voter? ☒ yes ☐ no ✓

✚ All **Contractor** members shall have been actively operating in the construction industry in Martin County for at least three consecutive years as a County-licensed or State-certified contractor.

Please check which applies:

- | | |
|---|--|
| <input type="checkbox"/> general, building, or residential contractor | <input type="checkbox"/> electrical contractor |
| <input type="checkbox"/> plumbing contractor | <input type="checkbox"/> HARV contractor |
| <input type="checkbox"/> registered architect or registered engineer | |

Any disciplinary actions? _____ If yes, please explain: _____

✚ No member shall hold elective public office or be a public employee or a public official, except in his or her capacity as a member of such board.

✚ If applying for a **Consumer** position, have you ever been a contractor or a member of any profession regulated by the Board or a member of any closely related profession? ☐ yes ☒ no

Have you ever pled guilty or “no contest” to a crime, been convicted of a crime, had adjudication withheld, prosecution deferred, been placed on probation, received a suspended sentence or forfeited bail in connection with any offense (except minor traffic violations)? Please show all convictions, including driving while intoxicated (DUI) convictions. ☐ yes ☒ no If yes, please provide the following information:

→ CONTINUED →

TYPE OF OFFENCES: _____

DATES: _____

PLACES (city/state): _____

SENTENCES OR FINES: _____

A conviction record does not necessarily disqualify you for consideration. Factors such as age at time of offense, nature of violation, and rehabilitation will be considered. The Martin County Board of County Commissioners retains the right to remove, at will, any appointee to a Board or Committee with or without cause.

EDUCATION/EXPERIENCE: A resume is recommended to be attached containing this and any other information that would be helpful to the Board in evaluating your application. Resume or letter of qualifications attached? ☒ yes ☐ no

Education: _____

attached

Employment Experience: _____

attached

Other experience you feel would be helpful to the Board in making this appointment: _____

Prior Board Member: Loxahatchee River Coordinating Management Council; Chamber of Commerce:

Public Safety Pension Board, Employee Pension Board, Former Council Member & Mayor of Tequesta.

Current Board Member of the Securities Experts Roundtable (mentoring professionals in dispute resolution) Arbitrator for Financial Industry Regulatory Authority (a/k/a FINRA).

Community Experience and Affiliations: See above

Other County Boards/Committees/Task Forces on which you have served: none

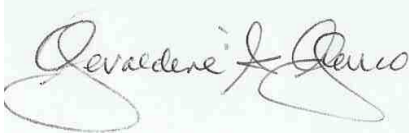
Do you or any member of your immediate family work for Martin County or hold a position that might conflict with your duties for this Board/Committee/Task Force? If yes, please explain: NO

→ CONTINUED →

REFERENCES: Please list two references:

Catherine Harding, 1 Bunker Place, Tequesta Fl 561 801 4347 / Marge Ketter, 7088 Rivers Edge
Jupiter, FL 561 747 9487 MargeKetter36@gmail.com / Virginia Sherlock, 618 South Ocean Drive #5,
Stuart, Fl, 772 287 0200 VSherlock@lshlaw.net

- Board members *may* be required by State Law and County Ordinance to file a Financial Disclosure Statement as part of the appointment process.
- Under penalties of perjury, I declare that I have read the foregoing and that the facts stated in it are true. (Pursuant to Section 92.525 Florida Statutes, falsifying this application is a Third Degree Felony punishable by up to five years imprisonment and up to a \$5,000 fine.)
- Florida law prohibits an advisory board member from doing business with its agency (the County). Section 112.313(3) and (7), Fla. Stat.



January 25, 2021



Signature: _____

Date: _____

Applications must be filed with Martin County Administration, 2401 SE Monterey Road, Stuart, Florida 34996 **by Friday, February 12**, 2021. All information submitted becomes public record. If you have any questions, please call (772) 221-1352 or send email to dgordon@martin.fl.us.

GERALDINE A. GENCO (DUBE)

11971 SE BIRKDALE RUN
TEQUESTA, FL 33469
PH: 561 745 3893
GGENCO@ME.COM

BIO...

In 1987 Ms. Genco began working at Chemical Bank's corporate offices in New York as Compliance Director for the banks wholly owned Private Banking affiliate. Formerly the corporate head of compliance for three national broker/dealer (BD) Firms and registered investment advisor(s) (RIA), some areas of her industry experience include CRD and IARD registration, operations, compliance administration, advertising, supervision, private placements, variable annuities and Anti-Money Laundering. She has designed and implemented exception-reporting (MIS) systems, as well as trained and monitored personnel for adherence with multilateral regulations, internal policies and product suitability.

In 1995 she also began working as a consultant and expert witness. Her Clients have included the Securities and Exchange Commission, the State of Florida Division of Securities & Finance, attorneys, brokerage and advisory firms.

EMPLOYMENT...

GERALDINE A. GENCO, CONSULTING

BROKERAGE & INVESTMENT ADVISORY CONSULTING SERVICES

PROPRIETOR

November 1995 through Present

Provider of compliance and litigation consulting for broker/dealers and investment advisors. Consulting services include compliance audits, systems design, regulatory conformance advice, forms, manuals, procedures and regulatory filings. Litigation support (Respondent or Plaintiff) provided for mediation, arbitration and court proceeding, expert reports, case assessment, and testimony. Areas typically cover investment advisory and broker dealer regulations, supervision, suitability and damages.

JOSEPH CHARLES & ASSOC. FL

1993 through May of 1996

Bear Stearns Correspondent, Regional Brokerage firm, marketing retail investment products.

VICE PRESIDENT, COMPLIANCE DIRECTOR

Designed and implemented compliance and operations procedures and manuals. Supervised CRD registrations and transitions, advertising and compliance with house policies and industry rules. Firm liaison with regulatory authorities as well performed client services.

J & W SELIGMAN AND CO. INC. NYC

1991 through 1992

ASSISTANT VICE PRESIDENT, COMPLIANCE DIRECTOR

Director of Compliance for holding corporation, with compliance responsibility for the Trust Company, Transfer Agent, Registered broker/dealer, Registered Investment Adviser and (Mutual Fund) Investment Company. Monitored and updated compliance procedures and management information systems for Registered Investment Adviser and broker/dealer.

THE PORTFOLIO GROUP, INC. NYC

1987 through 1991

a subsidiary of Chemical Bank

COMPLIANCE OFFICER, CORPORATE SECRETARY

The first person to hold this appointment, responsibilities included the interpretation of regulatory requirements and authoring and implementing supervisory and compliance manuals. Designed a management information system for compliance, and formalized records maintenance procedures. Served as Corporate Secretary maintained corporate records, corporate minutes. Directed the dissolution of 2 Chemical Bank affiliated corporations and the absorption of their 2.5 billion dollar client base.

EXAMS PASSED/QUALIFIED

General Securities Principal (Series 24)
Registered Representative (Series 7)
Investment Banking Representative (Series 79)
Operations Professional (Series 99)
Uniform Investment Adviser Law Exam (Series 65)
Uniform Securities Law Exam (Series 63)

MISCELLANEOUS

Arbitrator, American Arbitration Association and Financial Industry Regulatory Authority
2001- 2002 Florida Atlantic University Advisory Committee Member
1976 A.S. Cum Laude Broward College
Attending Bellevue University, graduation 2021
Trustee, Juno Tequesta Beach Chamber of Commerce, 2001- 2002
Trustee, General Employees & Public Safety Pension Plan 2002 -2006
Financial Administrator for RA Dube MD, Inc. 2011 – 2016
Board Member of the Loxahatchee River Management Coordinating Council, 2000-2006
Mayor Emeritus & Council Member - Village of Tequesta, 2000 – 2007
Member of Jupiter Hospital Ambassadors, 2005 to date
Member of the Lighthouse Center of the Arts, 2005 to date, 2011 Fundraiser Chair
Former President & Current Board Member of the Securities Experts Roundtable, Inc., a 501(c)6 non-profit business league
2016 Guest Lecturer U of Miami School of Law on Broker/Dealer & Advisory Supervision