

Marilyn Smith

Marilyn currently serves as the Head of U.S. Risk Governance for BMO Harris Bank, U.S. Operations of Bank of Montreal (BMO Financial Group). Immediately prior, Marilyn served this organization as Vice President & Associate Chief Compliance Officer for Harris Financial Corporation/Harris Bancorp focusing on its Investment Adviser, Broker-Dealer and Cross-Enterprise activities. Prior to joining Harris Marilyn served as the Director of Compliance Risk Management at Strong Capital Management headquartered in Menomonee Falls, Wisconsin focusing on mutual fund and adviser activities for its registered Investment Advisor, registered Investment Company, Dual Broker/Dealer, Transfer Agent, and Retirement Plan Services companies.

Immediately preceding service at Strong, Marilyn was employed in a similar capacity in Wealth Management at Bank One after its merger with First Chicago NBD Bank in Chicago, Illinois. She has worked in Trust, Investment Advisory, Broker Dealer, Mutual Funds, Private Banking and as an Information Systems Audit Manager and as Fiduciary Compliance Manager. She has provided front office, middle office, and systems regulatory advice, guidance and risk management to the trust department including personal trust, retirement services, corporate trust, investment advisor and trust operations. In addition to the years employed by Bank One, she spent several previous years with various financial institutions focusing on fiduciary and investment management activities.

Marilyn is a Certified Trust Audit and Compliance Professional (CTCP), and a Certified Risk Professional (CRP). She is a member of FIRMA. She also passed NASD/FINRA Series 7, 24 and 66 license exams.

Marilyn also serves as an editor of the FIRMA FORUM magazine and is a member of FIRMA's Education and Operations Committees.