



Lisa Roth

Lisa Roth is the CEO, CCO and majority owner of Keystone Capital Corporation, a FINRA member firm with its headquarters in San Diego, CA. Ms. Roth holds FINRA Series 7, 24, 53, 4, 65 Licenses. Ms. Roth is also the President of Monahan & Roth, LLC, a professional consulting firm offering compliance, regulatory and information security consulting and expert witness services. Previously, Ms. Roth was the founder of ComplianceMAX Financial Corp. (CMAX). CMAX was a regulatory compliance company offering technology and consulting services to more than 1000 broker-dealers and investment advisers. Ms. Roth's leadership at CMAX led to the development of revolutionary audit and compliance workflow technologies now in use by some of the US's largest (and smallest) broker-dealers. Ms. Roth has also served in various executive capacities with Royal Alliance Associates, First Affiliated (now Allied) Securities and other brokerage and advisory firms.

Ms. Roth is a member of the PCAOB Standing Advisory Group, leads the Member Advocacy Committee of the National Association of Independent Broker-Dealer (NAIBD) and is an active participant in industry forums, including FINRA committees and trade associations. Previously, Ms. Roth was unanimously selected by her peers to serve as the Chairman of the Small Firm Advisory Board. Ms. Roth is a frequent speaker at industry and regulatory conferences, and on ad hoc committees as necessary to promote a culture of continuous improvement for compliance and operations among investment services firms.

Ms. Roth resides in CA, but is a native of Pennsylvania, where she attained a Bachelors of Arts Degree and was awarded the History Prize from Moravian College.