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# Gateway Financial Group, Inc.

## Our Team

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### **Bryan E. McMahon** **Compliance Officer / OSJ Supervisory Principal**

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***"Work Hard and be Kind and Amazing things will happen" – Conan O'Brien***

Bryan joined the Gateway Financial Team in 2000, with extensive previous experience in investments, life insurance, actuarial, and employee benefit consulting. In his role as Compliance Officer / OSJ Supervisory Principal, he is responsible for assuring that registered representatives and administrative staff at Gateway Financial comply with all federal, state, FINRA, and SEC laws, rules, and regulations. Bryan also processes and tracks the licensing, contracting, appointments, and errors & omissions coverage for the Firm's insurance advisors and registered representatives. His additional responsibilities include:

- Ensuring all FINRA U-4 updates are reported in a timely manner, all registered representatives and office staff are using approved email addresses with the appropriate disclosures, and if there are any customer complaints, reporting them to M Holdings Securities, Inc. (the broker/dealer) immediately.
- Reviewing activity in customer accounts on a periodic basis.
- Confirming that all securities orders are processed and submitted in a timely fashion.
- Tracking and recording Outside Business Activity of registered representatives.
- Reviewing and approving all New Accounts.
- Reviewing and either approving or getting approved all the Firm's communications with the public.
- Providing training to all registered and unregistered personnel.
- Confirming that all required account documents are provided to and obtained from a client, and make, maintain, and preserve the Firm's books and records in accordance with the applicable laws, rules, and regulations.
- Confirming that all registered representatives are appropriately registered to solicit the purchase/sale of investment products in the proper FINRA state jurisdictions for each client.
- Ensuring that all registered representatives and non-registered administrative staff complete required FINRA regulatory and broker dealer firm element continuing education requirements. Also, ensuring that all licensed insurance agents complete their resident state continuing education requirements.
- The Information Security Officer (ISO) for Gateway Financial's Written Information Security Program (WISP). As ISO, he is primarily responsible for coordinating, managing, and overseeing the implementation and administration of the WISP.

Bryan and his wife, Tina, live in Murrysville, PA. They have a grown daughter out of town and enjoy visiting her whenever possible. Bryan also enjoys being with his family, exercising, biking on the numerous trails in Western Pennsylvania, and watching and attending all types of sporting events, especially the Pittsburgh Penguins. Fun facts: Bryan was a player on a competitive softball team where he played in tournaments throughout the United States for several years. He has been a Pittsburgh Penguins season-ticket holder since they drafted Jaromir Jagr in 1990.

#### Education & Affiliations:

- Pennsylvania State University, Bachelor of Science in Mathematics (Actuarial Science Option)
- M Holdings Securities, Inc. – Registered Principal and Registered Representative -- FINRA Series 7,24 and 63 securities registrations AND Licensed Insurance Agent
- Murrysville / Franklin Regional Area -- Coached / Volunteered for various youth athletic teams and associations

Check the background of Bryan McMahon on FINRA's [BrokerCheck](#); Bryan is a registered representative of M Holdings Securities, Inc.

*Securities offered through M Holdings Securities, Inc. A Registered Broker/Dealer, Member FINRA/SIPC. Gateway Financial is independently owned and operated.*