

# MATCHING CAPITAL WITH OPPORTUNITY



## Pacific Oak Capital Markets

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## Matt Mai

### Chief Compliance Officer

As the Chief Compliance Officer for Pacific Oak Capital Markets and Pacific Oak Capital Advisors, Matt is responsible for leading the firm's compliance program, day to day compliance activities and ensuring regulatory compliance.

Matt began his career in financial services in 2013 and has extensive knowledge and experience in broker-dealer and investment advisory compliance, supervision, and operations. He gained his experience through various roles with Pacific Life, National Plan Corporation, Transamerica Financial Advisors, and Allstate Financial Services.

Matt earned his bachelor's degree in business economics from California State University, Long Beach and holds FINRA Series 7, 24, 52TO, 63, 66 and SIE. He has called Orange County home for almost his entire life and is an avid volunteer with the Boy Scouts of America where he has served in several leadership roles within his local multi-unit troop and had earned his Eagle Scout Rank and completed Wood Badge Training.

### Education

BA Business Economics — California State University Long Beach

### Designations

Series 7 License  
Series 24 License  
Series 63 License  
Series 66 License  
Series 52TO License  
Securities Industry Essentials® (SIE®) Exam



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