

Peter Garcia



Peter Garcia is a Senior Attorney at the Financial Industry Regulatory Authority (FINRA), working in the Compliance Office Department. Prior to joining FINRA, Peter was Manager of the Regulatory Compliance Consulting practice at BDO Advisory.

Peter has over 8 years of regulatory compliance experience in domestic and international regulatory matters, implementing and advising on sound compliance programs for financial institutions, non-bank financial institutions, and financial firms (such as broker-dealers, private funds, and registered investment companies (RICs), including RICs that elected to operate as a business development company).

Peter earned a Juris Doctor at Elisabeth Haub School of Law, Pace University and he holds a Bachelor of Science in Accounting from the Stillman School of Business – Seton Hall University.