



## Leo Karwejna

Managing Director  
PFM Asset Management LLC

Leo Karwejna joined PFM to head the Compliance Group in 2011 as chief compliance officer and managing director. He has over 15 years of experience providing compliance support to firms in the investment advisory and securities-trading businesses including equity, fixed income, real estate (direct property and REIT securities) and additional alternative investment strategies.

Leo is responsible for all regulatory compliance program efforts related to PFM's business activities and personnel. He assists PFM professionals with specific compliance advisory guidance and leads the PFM Compliance team's efforts to develop, maintain and monitor firm-wide compliance with appropriate policies, procedures and regulatory requirements.

Leo's prior experience includes compliance management positions at Prudential Financial Inc., Deutsche Asset Management, and RREEF Alternative Investments. He is a member of the National Society of Compliance Professionals and the Securities Industry and Financial Markets Association – Compliance and Legal Society and also regularly serves as an Arbitrator for securities-related issues among the investing public and/or industry participants.



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### Contact

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### Education

B.S. in Finance  
St. Joseph's University

J.D.  
Temple University School of  
Law

### Professional Designations or Licenses

FINRA Series 7 and 66  
Licenses

National Association of  
Municipal Advisors

National Society of  
Compliance Professionals

**Started with PFM:** 2011

**Started in the Field:** 1999