

Influential Women Spotlights Dr. Shawn Bostic, DM, CFE: Advancing Regulatory Compliance Through Human-Centered Care

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-- Bringing More Than 30 Years of
Financial Services Experience to
Compliance, Ethical Leadership, and
Organizational Risk Management

Austin, Texas — Dr. Shawn Bostic, DM, CFE, is a seasoned regulatory compliance professional and organizational leadership expert with more than 30 years of experience in the financial services industry. As the Founder of Bostic Principled Solutions LLC, she has built a distinguished career spanning virtually every area of compliance, including regulatory compliance, branch examinations, internal audits, customer complaint resolution, transaction surveillance, registrations, regulatory examinations, and conflicts-of-interest oversight.



Throughout her career, Shawn has worked closely with the SEC, FINRA, state regulators, and securities attorneys, while advising executives and leadership teams on sensitive compliance and risk-management matters. Her expertise is strengthened by a Doctorate of Management in Organizational Leadership and her Certified Fraud Examiner credential.

Known for her “Human Edge” philosophy, Shawn brings a people-centered approach to regulatory compliance by integrating behavioral insight, ethical leadership, and organizational psychology into traditional compliance frameworks. She believes that some of the greatest risks organizations face are rooted not only in systems or policies, but in human behavior, communication gaps, and workplace culture.

Through her leadership, mentoring, and speaking engagements, Shawn advocates for transforming compliance departments from rigid “check-the-box” functions into strategic, integrity-driven environments where accountability and dignity coexist. She believes trust, empathy, and authentic leadership are operational strengths, particularly as businesses navigate an increasingly AI-driven landscape.

In addition to her corporate leadership, Shawn is an active industry speaker, mentor, and thought leader who regularly participates in professional panels and continuing education events focused on ethics, compliance, and financial services regulation. She is a member of the National Society of Compliance Professionals, the Association of African American Financial Advisors, the Financial Services Institute, and the Association of Certified Fraud Examiners.

Shawn attributes her success to patience, kindness, and the ability to truly listen to people before reacting or making assumptions. Her mother taught her the importance of treating others with grace, even in difficult situations, and that mindset has guided her throughout her career. She believes remaining calm, approachable, and thoughtful allows her to resolve issues effectively while building trust and strong professional relationships. She has also learned the value of persistence and adaptability, which have helped her thrive in an industry that constantly evolves.

The best career advice Shawn ever received was, “Be the water. Just go with the flow. Don’t let anything stop you. Keep flowing.” That advice taught her the importance of adaptability, resilience, and remaining open to change. In compliance and financial services, regulations, technologies, and business environments are constantly shifting, so being flexible while staying grounded in integrity has been essential to her success.

Shawn encourages young women to seriously consider compliance as a meaningful and rewarding career path. She believes it is an industry where curiosity, attention to detail, critical thinking, and emotional intelligence truly matter. Women can bring strong investigative instincts, communication skills, and empathy into this work, qualities that are incredibly valuable in compliance and leadership roles.

She also encourages the next generation to embrace change rather than fear it, especially with the rapid evolution of AI and technology. While technology will continue to transform the industry, Shawn believes human relationships, ethical judgment, and trust will always remain essential. She encourages young professionals to build strong relationships, stay curious, continue learning, and never underestimate the value of the human element in business.

One of the biggest challenges in the compliance industry today is navigating the rapid evolution of technology and artificial intelligence while maintaining the human side of leadership and ethics. Regulatory scrutiny continues to increase, and organizations are facing more sophisticated fraud risks, scams, and operational complexities than ever before.

At the same time, Shawn sees tremendous opportunities. She believes there is a growing need for compliance professionals who can bridge the gap between regulatory expectations and human behavior. There is also an opportunity to mentor the next generation of professionals, strengthen ethical cultures, and help organizations recognize that people—not just systems—are what truly distinguish successful businesses.

The values that matter most to Shawn are patience, kindness, integrity, listening, and strong interpersonal relationships. She believes people deserve to be treated with dignity and respect, even during difficult conversations or regulatory situations. She values empathy and understanding because they create trust and better outcomes in both professional and personal settings.

Shawn also believes in maintaining authenticity, being dependable, and approaching challenges with a calm and solutions-oriented mindset. For her, leadership is not about ego—it is about helping people navigate complexity while preserving accountability and humanity at the same time.

Through her continued work in compliance, mentorship, and professional education, Shawn Bostic remains committed to demonstrating that strong regulatory practices and a human-centered approach can work together to create more ethical, resilient, and successful organizations.

Learn More about Dr. Shawn Bostic:

Through her Influential Women profile: <https://influentialwomen.com/connect/Shawn-Bostic>

Influential Women

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