

Robert Smith

Senior Consultant/Account Manager

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SUMMARY

9 years of experience as a Senior Consultant. Financial services professional with extensive experience in compliance management/supervision, relationship management, training, back-office operations, and project design. Leadership experience includes management of small to medium size business groups during times of economic growth and economic decline.

SKILLS

Tableau, Excel, JIRA, Word, Powerpoint, CMS, Business Analysis, Account Management, Budgeting, Business Development, Communication, Computer, CSS, Customer Service, Data Analysis, Detail Oriented, Database Management, Data Entry, Dreamweaver, Editing, Email, Forecasting, Google Analytics, and Graphic Design.

WORK EXPERIENCE

Senior Consultant/Account Manager

ABC Corporation - August 2011 – March 2014:

- Responsible for managing engagements that put client firms into compliance with current regulatory requirements.
- Conducted global AML screening for international client firms clients, both individual and corporate, using access world-check.
- Independent consultant for a sec-mandated audit and certification of a global broker/dealers 15c3-5 compliance related to market access and covering high-frequency trading.
- Implemented regulatory compliance plan for the client firm, providing trade reporting review and analysis of MSRB and trace transactions and comparing the current operating model to a future-state model that included firm trading through the bonddesk system.
- Managed an oats remediation project for regional brokerage firm, including training of firm personnel.
- Performed a comprehensive review of regulatory trade reporting for a leading national broker-dealer.
- Engagement included large options position reporting (LOPR), oats, short interest reporting, and otc trade reporting.

Operations Manager

ABC Corporation - May 2005 – July 2011

- Wells Fargo advisors provide a full range of investing services and investment products.
- Responsible for managing all of the reportable stock and bond trades, as well as responding to any exceptions that arise from trade reporting.
- Designed a new operating model to conform to the latest occ and FINRA requirements.
- Attended meetings, including development, patch release, training, and team activities, as needed.
- Constructing and authoring end to end business requirements for different accounting and finance initiatives and projects that included but not limited to the automated journalizing process and the manual journal entry tool.
- Configuration and deployment of application packages and software updates via SCCM.
- Reviewed, edited, and standardized materials prepared by other team members.