

JESSICA CLAIRE

Montgomery Street, San Francisco, CA 94105 ◆ (555) 432-1000 ◆ resumesample@example.com

CAREER FOCUS

Well-qualified Compliance professional, with more than 15 years of progressive experience in financial services risk and compliance roles within global organizations. Demonstrated ability to lead and streamline business operations that drive growth and increase efficiency. Strong qualifications in developing and implementing risk controls and processes in addition to productivity improvements, and change management.

SUMMARY OF SKILLS

In-depth knowledge/efficiency of MS Office Suite, Large data SQL sets-table enhancements, Operational risk, Managing and Analyzing accounting and audit processes, Strong written and verbal communication skills, Experience in high-quality financial and performance metric reporting (PMR), Business and Data analysis skills, Experienced with requirement/defect tracking tools such as Quality Center and JIRA, NICE Actimize risk and compliance software, Team approach with an ability to manage multiple work streams in a global environment

ACCOMPLISHMENTS

PROFESSIONAL EXPERIENCE

Asset Management Compliance Director, 01/2015 - Current

Tishman Speyer – San Francisco, CA

- In coordination with the Line of Business in Risk, Internal Audit and Technology to develop and/or enhance new policies, processes for ERM programs with a strong focus on the regulatory requirements of the Investment Company Act of 1940.
- Assist with firm responses to the SEC on reviews of controls and policies under Rule 206(4)-7 for the Investment Advisors Act of 1940 employing Compliance Testing and Monitoring plans.
- Liaise with Equity and Fixed Income Surveillance teams on emerging issues affecting controls used to capture violations and mitigating trading, and counterparty risks, including new products, changes in business models and processes.
- Assist with the maintenance and the submission to the SEC of Form ADV Part 1 and 2 for registered investment advisors.
- Oversee a small group of compliance testing and surveillance staff, assisting with the periodic reporting of their test results while summarizing gaps and recommendations accordingly.
- Working collaboratively with Legal on responses to regulatory requests for data and analysis while interfacing with regulators during examinations on the implementation of three lines of defense.
- Participate in the creation of the yearly Global Test Plan, Test Strategy to ensure tests are documented and completed tracking high risk test findings.

Senior Advisory, 01/2014 - 01/2015

PricewaterhouseCoopers-PwC – City, STATE

- Successful client engagements in the field of compliance, risk management, and anti-money laundering practices, which included investigations, data quality, alert generation/data look back assessment scenarios, and designated SAR case reviews.
- Using Advanced Statistical and Analytical techniques such as Normalization, Clustering, and Regression Modelling to yield the appropriate thresholds to identify outliers and to prepare metrics for reporting to senior management.
- Senior project leadership developing risk assessment processes and strategies experience while leveraging consultant resources and contribute through others within a diverse team setting.
- Enhanced Business Development reputation by accepting ownership for accomplishing new and different requests; exploring opportunities to add value to project scope and accomplishments.
- Developed and maintained data documentation, user acceptance testing, ad-hoc inquiries, ER diagrams, Flowcharts, use-test case creation, data modeling, internal and external business requirements).
- Responsible for development and enhancement of risk techniques and risk reporting on large client engagement which consisted of monitoring, reviewing and approving project team's cases, SARs and escalations.
- Developed new risk models in wide variety of areas (geography, product, customer-type, typology, referral channel that improved the look back review process communicating to senior management and external regulatory entities.

Senior Associate, 01/2008 - 01/2014

Barclays Investment Bank – City, STATE

- Knowledge of data modeling concepts in a multi-layer data warehouse, working with various business logic tools to create automated surveillance models meeting regulatory standards.
- Managed release planning and participated in pre-post release testing to validate requirements and identify key risks while establishing and maintaining vendor relationships with Bloomberg /Reuters.
- Conducted systems integration testing designed to support our QA process improvements while documenting and ensuring our users within UAT have an acceptable range of results.
- Monitor and escalated threshold breaches on existing trade surveillance models using the firms surveillance tools Actimize and Mantas.
- Generated SQL relational databases and writing queries while identify data gaps and preventive investigations into the data trends while monitoring existing fixed income trade surveillance model.
- Achievement: Led strategic implementation of a fixed income platform for Corporate Municipal Bonds that reduced manual booking by over 40% which decreased the firms expenses by an estimated \$275k yearly.
- Completed periodic cost analysis, documenting polices and workflows while identifying and recommending areas for cost savings from a technical and operational standpoint to senior management leading a team of four analyst.

Financial Portfolio Associate, 01/2005 - 01/2008

Lehman Brothers – City, STATE

- Reconciled institutional accounts and client accounts, failed trades, maintaining cash regulatory requirements from the NYSE & SEC highlighting gaps and risk opportunities.
- Served within the Performance Management group (PMR) coordinating with operational support staff completing dividend analysis/processing, portfolio accounting, and risk analysis on a daily basis.
- Analyzed client portfolio positions and contributed to cutting edge portfolio construction and investment strategies while exercising the clients strategic wealth preservation requirements and risk management needs.
- Documented process flows and procedure manuals while leading the day to day operations, managing a staff of 5 junior associates supporting the business in a range of management inquiries, financial/regulatory and compliance requests.

EDUCATION

Bachelor of Science: Economics Business Management, May 2005

Stony Brook University - Stony Brook, NY

Economics Business Management

Master: Business Administration Corporate Finance, May 2010

Dowling College - Oakdale, NY

Business Administration Corporate Finance 3.7/4.0

SQL Programming Language Certificate: November 2013

Learning Tree International - New York, NY

Organization Performance Improvement Certificate: March 2014

George Washington University School of Business - New York, NY

Certified Fraud Examiner - ACFE: October 2014

New York, NY

PROFESSIONAL AFFILIATIONS

Association of Certified Fraud Examiners

LANGUAGES

Limited working proficiency: Spanish

SKILLS

Bloomberg, Business Development, Project Management, Cost Analysis, Data Analysis, Data Modeling, Documentation, MS Office Suite, Actimize, Risk Assessment, SQL, Communication Skills (Verbal and Written)