

ROBERT SMITH

Chief Compliance Officer I

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SUMMARY

Dynamic examiner able to coordinate and direct all phases of project-based solutions while managing and motivating project teams to achieve optimal results.

CORE COMPETENCIES

Compliance Management, Audit, Operational Risk.

PROFESSIONAL EXPERIENCE

Chief Compliance Officer I ABC Corporation - 2005 – 2007

Key Deliverables:

- Responsible for due diligence process and transition to Quest compliance program.
- Manage the compliance audit team, reporting outcomes to Executive Management as well as the Audit Committee of the Board of Directors.
- Develop, maintain and support the implementation of updates to the Compliance Program and Plan.
- Routine interaction with the Audit Committee of the Board of Directors through quarterly presentations as well as ad hoc discussions.
- Investigate reports of alleged non-compliance.
- Perform compliance education for corporate and operational employees.
- Communicate and work with company general counsel as well as outside counsel regarding compliance issues.

Chief Compliance Officer ABC Corporation - 2003 – 2005

Key Deliverables:

- Worked with CFO on due diligence process as well as transition to LabCorp.
- Attend senior management meetings chaired by CEO.
- Enhanced and maintains company wide compliance program.
- Conducted compliance education for corporate and operational employees.
- Developed compliance education curriculum for all employees.
- Developed and implemented Code of Conduct, compliance policies, and company hotline.
- Prepare and present compliance reports to Board of Directors and Executive Management.

EDUCATION

- Bachelor of Social Science in Public Policy - (PENNSYLVANIA STATE UNIVERSITY)