

ROBERT SMITH

Asst. Chief Compliance Officer

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SUMMARY

Office Management professional with operations and compliance experience in the financial industry. Accomplished individual highly skilled in implementing processes that reduce error.

CORE COMPETENCIES

Technical Skills, Management.

PROFESSIONAL EXPERIENCE

Asst. Chief Compliance Officer ABC Corporation - 2013 – 2015

Key Deliverables:

- Provided leadership to identify, evaluate, mitigate and report on all firm compliance based on SEC regulatory requirements.
- Cultivated an environment of continual improvement and performance.
- Created and updated compliance policies and procedures for operation and financial standards for direct SEC compliance.
- Worked with outside accounting firm supporting GIPS compliance.
- Supplied records, documented information and performance history.
- The supported verification process for accurate marketing.
- Identified and resolved cases with discrepancies and compliance issues.

Chief Compliance Officer

AmericaFirst Capital Management, LLC / AmericaFirst Quantitative Funds - 2012 – 2013

Key Deliverables:

- Recruited to turnaround and build the compliance infrastructure for a SEC registered investment adviser/manager to mutual funds and retail separate managed accounts.
- Led the compliance, legal and operational aspects of establishing a new stand-alone Trust (Regulated Investment Company) and reorganizing an existing mutual fund family from a series trust into the new Trust.
- Restructured and implemented new procedures to dramatically improve the review and approval of marketing/advertising collateral to achieve and remain within regulatory compliance.
- Established monitoring procedures to overcome systems deficiencies and significantly improve portfolio management compliance.
- Reorganized and upgraded vendor selection and management providing improved levels of customer service and reporting to investors and the various distribution channels.

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- Vastly improved review process for marketing collateral.
- This is Dummy Description data, Replace with job description relevant to your current role.

EDUCATION

Associate in Arts - (Pennsylvania State University)

