

# Robert Smith

## Chief Compliance Officer/Analyst

### PERSONAL STATEMENT

To be considered for the Staff Development position. Acquired through working three years with the Office of Inspector General, as the Director of Nursing for four and a half years in a long term care facility.

### WORK EXPERIENCE

#### **Chief Compliance Officer/Analyst**

**ABC Corporation - May 2012 - July 2016**

##### *Responsibilities:*

- Responsible for the implementation of the Bank Secrecy Act and Anti-Money Laundering Compliance Program.
- Ensure application of Know Your Customer (KYC) procedures for new customers.
- Monitor and investigate customer transaction activity for the required internal and external reporting.
- Work with Compliance Committee to arrange required BSA/AML training for staff.
- Work with outside consultants on risk assessing the companys products and services.
- Arranging and conducting the required BSA/AML training for staff.
- Monitoring and coordinating compliance activities of others to remain abreast of the status of all compliance activities and to identify trends.

#### **Chief Compliance Officer**

**ABC Corporation - 2008 - 2012**

##### *Responsibilities:*

- Develop and implement the various Advisory Forms, ADV and ADV Part 2, Asset Management Agreements, Financial Planning Agreements, Wrap Fee Program.
- Develop, initiate, maintain and revise policies and procedures for the general day to day operations of the Firm.
- Responsible for Firm registration and approval with multiple states as a State Registered Advisory Firm Oversee Compliance, Operations and New Accounts Departments to ensure all areas of accountability are being met for State and Federal Regulations.
- Implementing and enforcing a supervisory program to ensure compliance with SEC and State rules and regulations Establishing and maintaining written policies and procedures designed to ensure adherence with BSA/AML and securities legislation and internal.
- Continuously identify potential areas of compliance vulnerability and risk; develop and implement corrective action plans for resolution of problematic issue and provide general guidance on how to avoid similar situations in the future.
- Lead and manage regulatory investigations.
- Build ongoing constructive, pro-active relationships with appropriate regulators.

### **CONTACT DETAILS**

1737 Marshville Road,  
Alabama  
(123)-456-7899  
info@qwikresume.com  
[www.qwikresume.com](http://www.qwikresume.com)

### **SKILLS**

Microsoft Office, Excel.

### **LANGUAGES**

English (Native)  
French (Professional)  
Spanish (Professional)

### **INTERESTS**

Climbing  
Snowboarding  
Cooking  
Reading

### **REFERENCES**

Reference - 1 (Company Name)  
Reference - 2 (Company Name)

## Education

Master's in Business Administration - 2010(Southern States University - Newport Beach, CA)