

ROBERT SMITH

Chief Compliance Officer/Representative

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SUMMARY

Experience in the financial services industry and currently holds series licenses. Knowledge spans from Chief Compliance Officer to owning and operating a full service.

SKILLS

Management, Health Information Management.

WORK EXPERIENCE

Chief Compliance Officer/Representative

Med-Life Institute - April 2014 – 2020

- Promoted from Regional Director of Student Services and Compliance Provide leadership in student services planning and student operational support systems.
- Manage student services policies and procedures. Built and maintained the firms Rule 206(4)-7 COE.
- Coordinate and supervise student retention and placement.
- Develop, implement, and monitor institutional effectiveness outcomes assessment program.
- Ensure compliance with DOE, BON, CIE, and ABHES requirements.
- Supervise campus Student Service Coordinators. Oversaw all aspects of the companys compliance and supervisory functions.
- Obligations in addition to directing and enhancing the firms training program.

Chief Compliance Officer

ABC Corporation - 2012 – 2014

- Hovercraft Developer/Builder) Worked jointly with General Counsel to manage and ensure compliance with all State and Federal regulations with regard to Miami Hovercraft, hovercraft developers and manufactures, and Miami Beach Charters, which owned and operated Miami Yacht Events.
- Drafted, reviewed and negotiated contracts, and warranty terms and conditions.
- Reviewed and approved all marketing materials.
- Developed and maintained contract templates with regard to business agreements and confidentiality agreements.
- Supervised vendors and invoicing working closely with the project manager to maintain budgeting and costs, managed office and office staff.
- Researched State and Federal Regulations as well as International Rules/Regulations with regard to use and permitting for Hovercrafts in the US and Bahamian waters.
- Partnered with General Counsel and Outside Counsel to manage Copyright, and Trademark matters with regard to design and development for Miami Hovercraft and Dragonflight Hovercraft logos.

SCHOLASTICS

- Master of Nonprofit Management - (University of Central Florida - Orlando, FL)