

Chief Compliance Officer

ROBERT SMITH

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Alabama.

Objective

Accomplished compliance, finance and audit professional with extensive experience developing and implementing compliance and internal audit programs for academic medical centers.

Skills

Technical Skills, MS-Office.

Work Experience

Chief Compliance Officer

ABC Corporation - 1992 - 1994

- Monitored principal trading account activity in the U.S.
- Treasury securities, collateralized mortgage obligations, and corporate debt instruments.
- Reviewed client account activity to ensure adherence to federal laws and self-regulatory organization rules.
- Worked with Trading Desk in determining internal mark-up policy.
- Oversaw state registration requirements for the firms licensed individuals.
- Conducted registered representative compliance meetings.
- Prepared Form BD amendments and reviewed advertising/sales literature.

Chief Compliance Officer

Wallington Asset Management, LLC - 1988 - 1992

- Manage the compliance program.
- Ensure that all current regulations are addressed by policies and procedures.
- Train firm employees on risk management and maintain a culture of compliance.
- Conduct periodic risk assessments and form filings, e.g., U4, U5, ADV part 1 and part 2, 13F, 13H, State Notice Filings, etc Review emails, advertisements, correspondence, and presentations on a regular basis and as needed.
- Work with Compliance Committee to establish and confirm policies for both existing and pending regulations.
- Utilize Advent Axys, Junxure, CAPS, Microsoft Office products, custodian websites, etc to compile reports for review.
- This is Dummy Description data, Replace with job description relevant to your current role.

Education

J.D. - (Benjamin N. Cardozo School of Law - New York, NY)