

# Chief Compliance Officer

# ROBERT SMITH

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## Objective

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

## Skills

Health License, Management.

## Work Experience

### Chief Compliance Officer

**ABC Corporation** - January 2012 – July 2012

- Reviewed and approved transactions/trades coming through the B/D for suitability prior to them being released for execution.
- Directly supervised all facets of the compliance department, including advertising, surveillance, branch office examination.
- Assisted FIN/OP in gathering and interpreting documents required to file FINRA Focus Reports.
- Developed and drafted procedures for the AML programs. Additionally drafted policies for B/D self Audits.
- Review and approve Account Information Forms, new direct business applications, and trading activity blotters.
- Review and approval of advertising and marketing material in order to comply with FINRA regulations.
- Provide information on health programs and CRIHB leadership regarding the impact of the laws and regulations.

### Chief Compliance Officer

**ABC Corporation** - 2010 – 2012

- Las Vegas, NV Apr.
- 2010 - Feb 2016 Chief Compliance Officer Develop and maintain all relevant Policies and Procedures based upon regulatory requirements, industry practices and established internal controls, including AML, CIP, BCP, insider and personal account handling, disclosures.
- Manage and execute the annual assessments of the compliance programs, as required by FINRA Rules 3130 and 3120, and SEC Rule 206(4)-7.
- Prepare written reports of each such assessment, to be delivered to senior management and the Firms Board of Directors Redesign compliance audit program to proactively identify and mitigate legal and regulatory risk exposure.
- Present the firm in communication and interaction with regulatory bodies (FINRA, SEC, MSRB, NFA, OCC), draft responses to regulatory inquiries, managed compliance audits, informed management of the results, and implemented corrective actions.
- Partnered with Operations staff to properly implement changes in the regulatory environment while providing guidance for seamless compliance transition.
- Independently implemented specific business concepts, including operations risk and controls across entire organization..

## Education

BBA in Finance/Management - (University of Houston, C.T. Bauer College of Business BBA)