

ROBERT SMITH

Chief Compliance Officer III

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To secure a position in the organization that offers challenge and opportunity for career development. At the same time serves the organization to the best of capabilities.

DECEMBER 2011 - 2020

CHIEF COMPLIANCE OFFICER III - REGENCY JOB TRAINING INSTITUTE

- Supervise all staff and ensure they are in compliance with the NC Approving Agency, NC Barber & Cosmetic Arts Board, NACCAS Accreditation.
- Create a database system for safe record-keeping and database entry.
- Develop new partnerships & educational platforms for the institute.
- Ensuring website development & site optimization is effective.
- Responsible for budget planning, yearly objective identification.
- Oversee Accounts Payable, Accounts Receivable, Payroll allocations, Corporate Billing/Allocation, and General Accounting.
- Extensive knowledge of broker dealer and investment adviser compliance and regulations.

2008 - 2011

CHIEF COMPLIANCE OFFICER - ABC CORPORATION

- Appointed to a new role as Chief Compliance Officer in response to the Healthcare Reform Bills mandatory compliance requirement.
- Challenged with designing, implementing, and managing the companys Corporate Ethics & Compliance Program.
- Developed the Code of Ethics, training, auditing, investigations, conflict of interest, and quarterly Board briefings.
- Developed and implemented the corporate Ethics & Compliance Program.
- Updated the companys policies and procedures to support the Ethics & Compliance Program.
- Designed and implemented the compliance auditing, education and training for administrative and clinical staff.
- This is Dummy Description data, Replace with job description relevant to your current role.

EDUCATION

Undergraduate in Business Administration - January 2003(Liberty University - Lynchburg, VA)

SKILLS

Registered Para planner, Research, Compliance reviews.