

ROBERT SMITH

Chief Compliance Officer/Co-ordinator

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Dynamic examiner able to coordinate and direct all phases of project-based solutions while managing and motivating project teams to achieve optimal results.

EXPERIENCE

Chief Compliance Officer/Co-ordinator

Opus Capital Markets, LLC - DECEMBER 2013 - 2020

- Act as a liaison between business units and compliance attorneys. Reporting events that pose a threat to the Company.
- Communicate regulatory changes to operations staff and senior management.
- Test and monitor due to diligence systems to ensure accuracy in determining findings.
- Protect assets from unauthorized access, disclosure, modification, destruction, and interference.
- Prepare and execute training for all applicable laws and regulations.
- Provide timely response to compliance issues for files undergoing due diligence review.
- Manage Compliance Process System Development and Quality Control Departmental Compliance Support.

Chief Compliance Officer

ABC Corporation - 2012 - 2013

- 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.

EDUCATION

- Summer Program-2006 in Law - January 2006(John Marshall Law School - Chicago, IL)

SKILLS

Audit, Operational Risk, Project Management.