

Robert Smith

Lead Chief Compliance Officer

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SUMMARY

Experience with investment firms offering private and public investment products. Extensive experience with the Investment Advisers with respect to SEC, state, CFTC and NFA requirements.

SKILLS

Problem Solving Skills, MS-Excel.

WORK EXPERIENCE

Lead Chief Compliance Officer

ABC Corporation - August 2009 – May 2010

- Ensure acquiescence with compliance standards and regulatory requirements.
- Identify compliance risks from Prop Trading and manage them by providing training, advice, testing, and monitoring.
- Carry out compliance planning for proprietary trading.
- Presented the firm in communication and interaction with regulatory bodies.
- Supervised all operations for firms relating to WSPs.
- Make sure that systems and Anti Money Laundering (AML) processes meet the requirements of regulatory.
- Carry out as hoc projects and prepared period reports to management.

Chief Compliance Officer

ABC Corporation - 2004 – 2009

- Member of senior management, senior operations office, enterprise AML committee and implementation teams for the new parent company.
- Chair of the best execution committee.
- Developed Rydexs proprietary product suite of mutual funds, ETFs, and currency shares as a member of the senior operations office.
- Managed the compliance program for the broker/dealer with the distribution of proprietary mutual funds and its independent dual-registrant division.
- Managed the compliance program for the investment adviser with proprietary and sub-adviser portfolio models.
- Spearheaded 5 FINRA exams and 1 NFA exam Modernized the compliance oversight program Reformed the broker/dealer supervisory structure Instituted an enhanced risk-based approach to the AML program and acted in the position of AMLCO Implemented an improved.
- This is Dummy Description data, Replace with job description relevant to your current role.

EDUCATION

Finance - 1986(Newbury College - Boston, MA)