Brokerage Operations Analyst Brokerage Operations Analyst Brokerage Operations Analyst - TP ICAP San Diego, CA Work Experience Brokerage Operations Analyst TP ICAP - Jersey City, NJ November 2018 to June 2019   Open and maintain trading accounts across global broking business, including: equities, fixed income, foreign exchange, rates, money markets & energy.   Correspond with KYC, compliance, trade support & brokerage teams to establish trading accounts in established time standards in fast paced environment.   Collect and affirm standing settlement instructions to ensure accurate delivery of trades.   Set access rights for internal brokers and external clients across all proprietary and external trading platforms. KYC Analyst Barclays Investment Bank - New York, NY November 2017 to November 2018   Perform routine due diligence checks on all existing banking and markets clients to ensure they comply with global regulations, AML laws, and internal global KYC procedures.   Review client nature of business, geographical exposure, and operations to determine risk profile.   Verify documentation obtained from clients using vendor services, such as S&P Capital IQ & Orbis.   Screen clients against sanctions and watch lists using Alacra, World-Check & LexisNexis and identify suspicious activity related to financial crime or political exposure.   Train new analysts on internal procedures and how to liaise with front office and clients. Software Developer Abel Noser Solutions - New York, NY June 2015 to November 2017   Software Developer -   ? Build custom client reports utilizing a combination of SQL & Microsoft Excel that provides global transaction cost analysis (TCA) among asset classes, such as: equities, futures, fixed income & foreign exchange. ? Create stored procedures, fact tables, views, & functions in SQL to be used in web application. ? Advanced skills in Excel (all or most functions, pivot tables, VBA, macro scripting, formatting, graph / charts)   Audit Manager & Information Security Specialist - ? Maintain & update information security policy, business continuity plan, SDLC policy, Risk Assessment & other relevant documentation for SSAE 16 Audit certification. ? Complete due diligence questionnaires (DDQ), requests for proposals (RFP) & other client inquiries spanning across information security, compliance and finance.   ? Organize application security tests, vulnerability scans & penetration tests on network and web application Education Bachelor of Science in Finance College of Charleston - Charleston, SC 2011 to 2015 Skills MICROSOFT SQL

SERVER, SQL SERVER, SQL, SHAREPOINT, ACROBAT, Microsoft Office (4 years), Excel (5 years) Certifications/Licenses Series 99 May 2019 to May 2021 Operations Professional Securities Industry Essentials (SIE) May 2019 to May 2021 Additional Information Technical Skills: Microsoft Office (Word, Power Point, Excel, Outlook), Microsoft SQL Server, Bloomberg Terminal, Adobe Acrobat Reader, Sharepoint

Name: Norma Reed

Email: michellerivera@example.com

Phone: (588)406-9255x0260