

Jaime H. Bello  
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(860) 335-2109

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## **RELEVANT WORK EXPERIENCE**

**Senior Compliance Specialist**, Hartford Investment Management Company  
Hartford, CT

*July 2007 – Present*

**Department: Investment Management Compliance**

- Manage compliance surveillance and guideline monitoring activities of 141 accounts representing approximately \$66B in AUM which consists of Institutional Clients, Domestic Mutual Funds, Trusts, UCITs and Corporate Owned Life Insurance (“COLI”) products.
- Scope of investment styles range from: Core, Core Plus, High Yield, Domestic/International Equity, Index (Large/Mid/Small-Mid/Small), Quantitative, Municipal, Fund of Funds, TIPS, Money Market, and Private Placements.
- Working knowledge of a variety of investment vehicles such as, but limited to: Government, Agency, Corporates (all subordinate debt), Structured securities like ABS, CMBS, MBS, Derivatives and Equity
- Created successful client on-boarding policy which consists of the review, assessment, construction, implementation and testing of codified investment guidelines.
- Developed manual/non-automated rule/guideline database.
- Create semi-automated tests in the Business Objects querying tool for guidelines aren’t readily coded in the primary compliance system (Blackrock “Aladdin” tool).
- Developed strong acumen with SQL based systems which allows for the effective review of compliance pre-trade/post-trade controls.
- Developed productive meaningful relationships with peers in different business groups of the organization i.e., front-office, middle-office, back-office.
- Developed meaningful relationships and liaised with product vendors that support: the compliance system, proxy voting service, and qualified institutional buyer (“QIB”) distribution groups.
- Investigate, log, and address potential compliance breaches and developed the Error Recording/Reporting Program (ERRP) – A trade error database and workflow designed to research log and reimburse error occurrences.
- Responsible for the preparation and submission of 13F and 13G filings through the SEC system-EDGAR.
- Perform monthly liquidity review and reporting for The Hartford Mutual Fund complex.
- Perform monthly portfolio pumping and window dressing review for The Hartford Mutual Fund complex.
- Participated in the implementation of the recent amended 2A-7 rules for the Hartford Money Market Mutual Funds and responsible for the continued monitoring effort of the money market mutual funds in accordance with rule 2A-7.
- Experience and knowledge of 17-a7 transactions/Cross-trades, Dispersion, Allocation and other pertinent trade compliance workflows
- Managed the process of preparing the accounts’ compliance certifications for Institutional Clients, Domestic Mutual Funds, Trusts, UCITs and Corporate Owned Life Insurance (“COLI”) products.
- Performed an annual review of all client guidelines (including IMAs, Prospectuses, SAIs, PPMs, and internal limits) to ensure all rules are properly coded within the compliance system
- Assist in the annual compliance program testing efforts in accordance with Rule 206(4)-7
- Assisted in the preparation of a scheduled SEC Audit performed in 2008

**Investment Consultant**, PFM Asset Management, LLC.  
Harrisburg/Philadelphia, PA

*January 2006 – July 2007*

**Department: Investment Management**

- Provided fixed income solutions for state/local governments, school districts, non-profit organizations, and pension accounts by structuring investment portfolios consisting of commercial paper, treasury securities, agency debt and other shorter term investments vehicles that are outlined in the investment management agreement.
- Provided bank bidding services for clients’ needs to determine most cost-effective custodian accounts.
- Developed user analytical models and reports for clients to determine potential investment choices.
- Conducted economic/market research with Bloomberg finance trade terminals.

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**Senior Annuity Service Specialist**, The Hartford Financial Services  
Avon, CT

*Winter 2003 - December 2005*

**Department: Investment Product Division (IPD) Account Management,**

- Demonstrated strong knowledge of Hartford Life annuity, life Insurance and mutual fund products.
- Assisted Morgan Stanley/Edward Jones field representatives with clients' retirement/investment policies.
- Serviced and maintained annuity products and provided professional customer service on all features, riders, and benefits of the annuity product variants – Directors, Leaders, and CRC.
- Created/Implemented revised policies and procedures for new programs and product features.

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**EDUCATION**

**Albertus Magnus College**, East Hartford, CT  
Master of Business Administration  
Cumulative G.P.A – 3.99  
Expected Graduation: October 2012

**University of Connecticut, School of Business** West Hartford/Storrs, CT  
Bachelor of Science in Business and Administration,  
Major: Business and Technology  
Concentration: Finance

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**LEADERSHIP**

- Trained three new employees within the Investment Management Compliance group.
- Managed one employee within the Investment Management Compliance group.
- Led several on-boarding meetings to discuss clients' guidelines, proxy voting, and trade errors with many individuals in other business groups.
- President of the Puerto Rican/Latin American Student Organization – West Hartford, CT
- Proctored /Mentored students in First Year Experience (FYE) course

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**LANGUAGES**

- Fluent in Spanish

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**EXPERIENCES & TECHNOLOGY**

- Experience/knowledge of Bloomberg Finance Trade Terminals
- Experience/knowledge of both equity and fixed income solutions
- Proficient in Microsoft Office Suite products (Word, PowerPoint, Excel, Access)
- Experience/knowledge of Business Objects XI Desktop Intelligence & Business Objects 6.5
- Experience with SEC filing system - EDGAR
- Functional knowledge of Investment Adviser's Act, Investment Company Act, FINRA rules
- Experience/knowledge of Blackrock Aladdin Trading/Compliance System, XIP 7s- MacGregor Trading System, Wall Street Office (WSO) Trading System
- Experience/knowledge of Crystal Reporting
- Knowledge of Charles River CRD
- Former FINRA Registered Representative - Series 6- (U-5)