

EDUARDO CHAVEZ

Phone: (815) 212-0674 | Email: echavez85@gmail.com | LinkedIn: www.linkedin.com/in/eduardochavez1985/
Address: 1258 West Winona Street #3B, Chicago, IL 60640

SUMMARY

Compliance Examiner with 9 years of experience in market regulation and equity trade compliance. Highlights of skills and qualifications include:

- Successful track record of leading, coordinating, and executing compliance examinations of trading firms as required by the SEC, FINRA, and exchange clients.
- Impeccable analytical and organizational skills to complete multiple examinations contributing to the attainment of organizational objectives.
- Exceptional ability to build and maintain productive internal and external relationships.

EXPERIENCE

FINRA (FINANCIAL INDUSTRY REGULATORY AUTHORITY)

Chicago, IL

Associate Principal Examiner

December 2014 – Current

- Examine and analyze the financial, operational, trading and business conduct activities of FINRA and FINRA's RSA Client organizations to ensure compliance with the Securities and Exchange Commission's (SEC) and Self-Regulatory Organizations' (SRO) rules and regulations.
- Participate in the planning for examinations to develop a risk-based examination strategy.
- Interact with member firm personnel in areas such as regulatory reporting, risk management, operations, trading and compliance; review business records prepared in each area to verify that activities are properly recorded and are in compliance with applicable rules and regulations.
- Review and test member organizations' internal controls around key business functions to ensure that related risks are adequately monitored and mitigated.
- Conduct exit meetings with member organizations' senior management to present them with findings and regulatory concerns noted during exams.
- Prepare written reports that detail the areas of risk included in the exam strategy, and the findings and concerns identified during the examination.
- Participate in the examination close-out process by assessing corrective action taken by the member firms, and by providing input on the disposition of examination results
- Work in a team environment, with opportunities to supervise others and interact with senior member firm and FINRA personnel.
- Evaluate systems used by member organizations for quality and reliability.
- Train and develop lesser experienced staff.

Compliance Examiner

December 2010 – December 2015

- Review broker-dealer order-handling processes and trading activity to ensure compliance with various exchange, FINRA, and U.S. Securities and Exchange Commission rules and regulations including, but not limited to, SEC Regulation SHO.
- Evaluate broker-dealer trading systems, supervisory controls, and procedures to determine compliance with requirements of NASD Rule 3010, SEC Regulation NMS, SEC Rule 15c3-5, and various exchange rules.
- Draft legal referrals, Cautionary Action Letters, and Disposition Letters, as well as other internal memoranda memorializing exam exceptions and report examination findings to broker-dealers in an organized and concise fashion.
- Conduct supervisory reviews of examinations and assist in the training of staff.
- Research and interpret rule language to determine applicability while conducting exams.
- Assist Legal Department in gathering and organizing exhibits for on-the-record interviews.
- Compile weekly statistics reports to inform management of percentage of exams completed to date.

Awards and Recognitions:

- Named the Trading and Market Making Surveillance Department's Regulation SHO Subject Matter Expert.
- Appointed to the working group for the redesign of the department's risk platform.
- Two-time recipient of the STAR Award for recognition of teamwork and collaboration

CHICAGO STOCK EXCHANGE, INC.

Chicago, IL

Equity Surveillance Investigator

September 2009 – December 2010

- Monitored daily activity of the Exchange's brokers to ensure compliance with, market trade-through exemption requirements, customer best execution obligations, clearly erroneous trade filings, ISO compliance, and various other exchange specific rules
- Investigated trade-system-generated indications of manipulative market activity
- Drafted reports of potential exceptions for review by supervising regulatory analysts

EDUCATION, LICENSES & AFFILIATIONS

LEWIS UNIVERSITY

Romeoville, IL

Bachelor of Science in Finance

May 2009 (Graduated)

- Minor in International Business
- Dean's List Spring 2008

AREAS OF EXPERTISE

Equities, FINRA, Securities, Securities Regulation, Finance, Microsoft Office Suite, SEC, Financial Regulation