

SUMMARY OF QUALIFICATIONS

Possesses years of experience in Branch Office and OSJ inspections; Investment Adviser 206(4)-7; and Investment Company 38a-1 testing. Familiarity in Dodd-Frank (Swap Dealer & Volcker) regulation; Branch Operations; Operational Risk Management; Risk Assessments; and Compliance Analysis. Well-versed in FED, FINRA and SEC regulations and their application.

Core Competencies include:

Analytical Thinking	Project Management	Influence & Persuasion
Continuous Education	Regulatory Compliance	Results Driven Leadership
Ethics	Risk Management	Strategic Planning
Management	Audit	Training/Development
Collaboration	Talent Management	Flexibility/Adaptability

EXPERIENCE

Commerzbank AG New York, New York

(2015-present)

Risk Assessments & Reviews - AVP

- ◆ Evaluates internal controls through testing and gap analysis, to identify control weaknesses, deficiencies and provide solutions to complex issues.
- ◆ Formalizes testing results and presents findings to Senior Business and Compliance Management.
- ◆ Works with compliance, risk, and legal associates on remediation of findings and action plans.
- ◆ Coordinates the process of tracking and monitoring the Compliance-owned findings to ensure target dates are met with sufficient remediation to its action plans.
- ◆ Assists with the annual securities risk assessment process, and its evaluation of inherent risk, controls, and overall residual risk for its various groups within the Commerzbank branch and broker dealer.

Prudential Financial Newark, New Jersey

(2012-2015)

Manager – Compliance Testing Unit (CTU)

- ◆ Responsible for the coordination, and oversight of Broker Dealer, Investment Adviser 206(4)-7 and 38a-1 inspection reviews, focusing on regulatory requirements and effectiveness of its policies and procedures.
- ◆ Supervised, trained, and developed staff through the testing process, and overall professional development.
- ◆ Effectively collaborated with risk, compliance, legal and business management to ensure proper action plans are implemented for deficiencies noted during inspections.
- ◆ Managed regulatory developments.
- ◆ Developed and maintained the department's onboarding program for new associates.

Analyst – Compliance Testing Unit (CTU)

- ◆ Performed annual compliance inspections of Prudential's Broker Dealers.
- ◆ Conducted detailed internal reviews on compliance risk processes for various areas including brokerage mutual fund, private fund, variable contracts, group insurance, and other advisory services.
- ◆ Reviewed applicable policies and procedures; identified the overall risk associated with the potential of issues, failures and gaps within processes; assessed the adequacy of control systems, and presented the results to business unit management, risk management, as well as business unit compliance.
- ◆ Maintained Prudential's internal control standards, including timely implementation of internal audit points with any issues raised by external regulators.
- ◆ Drafted and amended Standard Operating Procedures

National Regulatory Services San Diego, California (Virtual)

(2010-2012)

Auditor

- ◆ Traveled extensively, domestically and internationally, for various client sites performing regulatory audits for investment advisers and branch office audits for broker dealers.
- ◆ Evaluated the effectiveness of broker dealer representative's branch offices, and OSJs for adequate adherence to policies/procedures, and drafted reports of the findings and recommendations to the broker dealer.
- ◆ Reviewed advertising, drafted and amended firm procedures.
- ◆ Provided other filings and compliance services as needed.

Wells Fargo & Company Dallas, Texas

(2003-2009)

Compliance Examiner

- ◆ Implemented and monitored risk-based compliance programs to assure compliance with federal, state, agency, legal and regulatory requirements.
- ◆ Administered testing methodologies; evaluated the adequacy and effectiveness of policies, procedures, processes, initiatives, products and internal controls and identified issues resulting from internal and/or external compliance branch examinations. Drafted reports of findings and recommendations for compliance risk management.
- ◆ Collaborated with branch offices on the remediation of deficiencies found during the branch inspection, and provided education on rules and regulations.
- ◆ Managed staff associates and directed salary administration and rewards.

EDUCATION**Bachelor of Science, Major: Business Administration - Marketing** Old Dominion University – Norfolk, Virginia**LICENSES****Series 6** (*Investment Company, Products/Variable Contracts Rep.*)**Series 63** (*Uniform Securities Agent State Law*)**CRD: 5375717****AFFILIATIONS****National Society of Compliance Professionals (NSCP)****Securities Industry and Financial Markets Association (SIFMA)**