

Rami Shoula

Compliance Officer

👤 Profile

Experienced and driven Compliance Officer with a proven track record of helping to lead companies by ensuring they are functioning in complete compliance with all national and international rules and regulations. I possess excellent communication skills, allowing for the cultivation of positive and mutually beneficial business relationships, while keeping strong ethics at the forefront of my goals. I bring forth a superior knowledge of compliance laws and regulations, as well as standard business law.

📁 Employment History

Compliance Officer at Mutual Impact Inc. , New York

October 2009 — September 2019

- Handled regulatory inquiries from SEC, FINRA, CFTC, CME, NFA and foreign regulators.
- Researched, interpreted, and advised the company regarding compliance with laws and regulations.
- Wrote instructions for various departments on how to interpret and implement new guidelines.
- Developed remedial action plans when needed if audit findings called for action.

Compliance Officer at Capital Lending, New York

September 2009 — September 2013

- Provided valuable compliance advice to the business unit management regarding policies, controls, and procedures.
- Updated the business unit management when regulatory requirements or regulatory environment changes.
- Provided ongoing support to maintain and uphold the compliance program.
- Managed and coordinate the regulatory affairs of Capital Lending Asset management.
- Prepared accurate reports for filing.
- Monitored registration, licensing, and training requirements for employees.
- Reviewed marketing materials as necessary.
- Act as an effective liaison with regulatory agencies.

Executive Assistant at Capital Lending, New York

October 2007 — August 2009

- Provided top of the line administrative and clerical support to a Senior Broker at Capital Lending.
- Learned important terminology and processes to provide the best assistance possible.
- Handled calendars, inquiries, and the recording and reporting of messages.

Details

romioshoula@gmail.com

Skills

Critical Thinking

Result Oriented

Communication Skills

Leadership

- Booked conference rooms for meetings and sent out meeting itineraries.
- Assisted with any company initiatives that benefited from further support.
- Worked to promote the mission and integrity of Capital Lending.

Education

Associate of Communications, Los Angeles City College, Los Angeles

September 2006 — May 2008

High School Diploma, Laguna Beach High School, Laguna Beach

September 2002 — May 2006

References

Eva Sataro from Capital Lending

sataro@capitallend.com · 890-367-3456

Jake Ringenfelser from Mutual Impact Inc.

jrwork@mutualii.com · 462-283-2828

Lindsay Holtmeyer from Mutual Impact Inc.

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