**James Harris**

**Contact Information:**

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**Professional Summary:**

Experienced Head of Compliance with 7 years of experience in the banking industry. Adept at developing and executing compliance strategies, managing risk, and ensuring adherence to regulatory requirements. Known for strong leadership, problem-solving abilities, and a commitment to fostering a culture of compliance.

**Education:**

**University of Birmingham (Russell Group)**

* MSc Financial Crime and Compliance, Distinction
* Graduated: 2016

**University of Warwick (Russell Group)**

* BSc Economics and Finance, First Class Honours
* Graduated: 2013

**Professional Experience:**

**NatWest Group** *Head of Compliance*  
*Manchester, UK*  
*2018 - Present*  
Leading the compliance function, responsible for overseeing all aspects of regulatory compliance. Developing and implementing compliance programs, conducting risk assessments, and ensuring adherence to regulatory requirements.

* **Key Responsibilities:**
  + Leading a team of compliance professionals, providing direction and support.
  + Developing and implementing comprehensive compliance programs.
  + Conducting risk assessments and compliance audits to identify and mitigate potential risks.
  + Ensuring compliance with AML, GDPR, and other regulatory requirements.
  + Preparing and presenting compliance reports to senior management and the board.
  + Investigating compliance breaches and implementing corrective actions.
  + Collaborating with other departments to integrate compliance into business operations.

**Santander UK** *Senior Compliance Officer*  
*Manchester, UK*  
*2015 - 2018*  
Managed compliance activities, ensuring adherence to regulatory requirements and internal policies. Conducted risk assessments, developed compliance programs, and provided training to staff.

* **Key Responsibilities:**
  + Conducted regular compliance audits and risk assessments.
  + Developed and updated compliance policies and procedures.
  + Provided training and support to staff on compliance-related matters.
  + Monitored regulatory changes and ensured the bank's compliance programs were updated accordingly.
  + Investigated compliance issues and reported findings to senior management.
  + Collaborated with various departments to ensure a cohesive approach to compliance.

**HSBC Bank** *Compliance Analyst*  
*Manchester, UK*  
*2013 - 2015*  
Supported the compliance team in monitoring and enforcing compliance with regulatory requirements. Conducted due diligence, reviewed transactions, and assisted in developing compliance programs.

* **Key Responsibilities:**
  + Conducted due diligence on new and existing clients.
  + Monitored transactions for suspicious activities and potential compliance breaches.
  + Assisted in developing and implementing compliance policies and procedures.
  + Provided support and training to staff on compliance-related issues.
  + Prepared compliance reports and documentation for senior management.
  + Ensured compliance with AML and other regulatory requirements.

**Skills:**

* **Regulatory Compliance:** Deep understanding of regulatory requirements and compliance best practices.
* **Risk Management:** Proficient in identifying, assessing, and mitigating compliance risks.
* **Policy Implementation:** Skilled in developing and implementing effective compliance policies and procedures.
* **Leadership:** Strong leadership abilities with experience in managing compliance teams.
* **Training and Development:** Experienced in designing and delivering compliance training programs.
* **Analytical Thinking:** Strong analytical skills with a detail-oriented approach.
* **Communication:** Excellent communication skills, both written and verbal, with the ability to convey complex information effectively.

**Certifications:**

* **Certified Regulatory Compliance Manager (CRCM)**
* **International Certificate in Financial Services Compliance (ICA)**
* **Certified Anti-Money Laundering Specialist (CAMS)**
* **Certificate in Operational Risk Management (CORM)**