
Assistant Compliance Officer Resume

Job Objective

Career minded Assistant Compliance Officer with years of experience skills and the ability to work independently or as a team seeking position with well-established organization.

Highlights of Qualifications:

- Ability to monitor compliance with Code of Ethics policies
 - Ability to prepare regulatory filings, draft responses to regulatory inquiries
 - Ability to conduct compliance audits and implement corrective actions
 - Ability to evaluate new and existing product offerings
 - Ability to research and analyze information and various situations
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Professional Experience:

Assistant Compliance Officer

Luther Burbank Savings, Kansas City, MO

August 2005 – Present Managed compliance risk management and monitoring plans.

Administered staff and coordinated with OMSTA Senior Compliance Officer.

Monitored primary legislation impacting business.

Documented frequency of monitoring.

Formulated reports and coordinated with managers. Assistant Compliance Officer

West Bank, Kansas City, MO

May 2000 – July 2005 Imparted apt training for business line.

Participated in development of compliance policies.

Handled regulatory enquiries and coordinated with internal groups.

Collaborated with Policy Training and Registrations team.

Managed delivery of items in annual Compliance Plan.

Education:

Bachelor's Degree in Accounting

Western Oregon University, Monmouth, OR

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