
Chief Compliance Officer Resume

Job Objective

To obtain a Chief Compliance Officer position with organization where challenges and opportunities make way for career development.

Summary of Qualifications:

- Remarkable experience in a financial services firm
 - In-depth knowledge of asset management compliance, marketing review, compliance training and testing
 - Profound knowledge of drafting compliance and desk procedures
 - Sound knowledge of conducting risk assessments in a complex asset management organization
 - Familiarity with securities and investment advisers laws and regulations
 - Ability to handle matters discretely and confidentially
 - Superior presentation, analytical and facilitation skills
 - Strong emotional intelligence and people skills
 - Ability to provide regulatory and industry best practices advice
 - Possess overall business approach to problem solving
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Work Experience:

Chief Compliance Officer, August 2005 – Present
Freedom One Financial, Pittsburgh, PA

- Identified potential compliance vulnerability and risk in the organization.
- Developed, monitored and managed company's compliance policies and issues, internally and externally.
- Updated and prepared required registrations and disclosure documents.
- Conducted compliance audits, inspection and reviews.
- Interacted with legal and regulatory team.
- Developed and administered compliance training to staff.
- Participated in long-terminal strategic planning.

Chief Compliance Officer, May 2000 – July 2005
SPC Financial, Inc., Pittsburgh, PA

- Developed, initiated, maintained and revised policies and procedures designed to avoid and minimize the risks identified.
 - Worked with Human Resources and others as appropriate, performed education and training programs for employees.
 - Directed and managed Compliance Hotline.
 - Recommended senior management to implicate disciplinary and corrective action.
 - Ensured enforcement agencies and provided them suitable reporting of violations.
 - Monitored and coordinated compliance activities of other departments to remain current of the status of all compliance activities.
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Education:

Bachelor's Degree in Business Administration, Purdue University, West Lafayette, IN

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