

COMPLIANCE ANALYST RESUME

Job Objective:

To obtain a challenging Compliance Analyst position in a well reputed organization.

Highlights of Qualifications:

- A great deal of experience with trade compliance applications
- Self-motivated and has high standards for accuracy
- Ability to work independently and as part of a team
- Excellent written and verbal communication skills
- Strong interpersonal and time management skills
- Excellent analytical and critical thinking skills
- Proficient in Microsoft Office – Excel, Visio, PowerPoint, Project, Word, Microsoft Access, and data manipulation

Professional Experience:

Compliance Analyst, August 2005 – Present
Allegis Group, Inc., New York, NY

- Managed, authored and adapted firm policies and procedures to keep current with applicable industry regulations.
- Interacted with Regulators during routine audits as well as regulatory inquiries.

Compliance Analyst, May 2000 – July 2005
Janus Capital Group, New York, NY

- Traded portfolio monitoring and exception reporting.
- Proficiently analyzed, designed, tested, and managed rules in Dimensional's.
- Post- traded compliance systems support for AUS portfolios.
- Reviewed advertising, sales, and institutional materials for compliance with industry regulations as well as Dimensional's policy and procedures.
- Provided support to sub-advisor reporting obligations.

Education:

Bachelor's Degree in Finance, University of California, Berkeley, CA

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