
Compliance Associate Resume

Job Objective

Seeking a challenging position of Compliance Associate position in a reputed organization to utilize my experience and my knowledge to benefit the organization.

Summary Skills:

Remarkable experience in compliance, and quality control
Exceptional knowledge of the rules under the Investment Advisers Act and Investment Company Act
In-depth knowledge of trust and banking laws and regulations
Proficient with MS Office applications (word, excel, PowerPoint)
Strong written and verbal communication skills; and proven attention to detail and follow-up skills
Familiarity with Performing business risk assessments, investment management and advisory services
Proven ability to work alone and work together with all levels of management

Work Experience:

Compliance Associate, August 2005 to till date
South Shore Savings Bank, Bogalusa, LA

- Identified and resolved operational and compliance issues arising during daily activities.
- Developed, implement and monitored the compliance training program on a continuing basis, taking appropriate steps to improve its effectiveness.
- Reviewed emails and all agency mailings for inappropriate business activities like sales practice issues, checks to agents and credit issues.
- Developed & maintained documentation indicating issue tracking, escalation and resolution.

Compliance Associate, May 2000 to July 2005
West Suburban Bank, Bogalusa, LA

- Performed reviews of existing compliance program and ensured adherence.
 - Reviewed system generated reports of transactions and investigation of account activity for potentially suspicious activity.
 - Drafted and provided suspicious activity report with recommendations.
 - Assisted with the bank's compliance risk assessment program, as well as enhanced due diligence reviews.
 - Ensured to carry out the requirements for compliance as directed by Federal and State regulators.
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Education:

Bachelor's Degree in Finance, Carnegie Mellon University, Pennsylvania, PA

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