
Compliance Examiner Resume

Job Objective

Accomplished Compliance Examiner seeking full-time work with growing firm in which to use my skills and experience to aid in the growth of company.

Highlights of Qualifications:

- Vast experience in a regulatory, compliance Possess experience in the securities industry
 - Profound knowledge of Equities Securities products, trading rules, regulations and Equities Settlement
 - Extensive knowledge of FINRA and SEC rules
 - In-depth knowledge of net capital, reserve formula calculation and review and margin requirements
 - Proficient with PC, Word, Excel and Access
 - Excellent organization and follow-up skills
 - Excellent verbal and written communication skills
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Professional Experience:

Compliance Examiner, August 2005 – Present
Finra, Colorado Springs, CO

- Performed evaluation of compliance programs and business structure.
- Reviewed sales and marketing practices.
- Analyzed financial and operational conditions.
- Developed reports based on examination findings.
- Interacted with investors while investigating complaints.
- Communicated with all levels of member firm employees.

Compliance Examiner, May 2000 – July 2005
Waddell & Reed, Colorado Springs, CO

- Scheduled, planned and did pre-audit preparation for branch office audits.
 - Interviewed financial advisors, managers and administrative assistants regarding office procedures and advisor activities.
 - Developed report findings of office visits and took follow-up action as necessary.
 - Responded to routine inquiries from RVPs and managers concerning adherence issues.
 - Completed expense reports and other paperwork in a timely, accurate way as requested.
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Education:

Bachelor's Degree in Business Administration, Missouri Valley College, Marshall, MO

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