
Compliance Executive Resume

Job Objective

Experienced Compliance Executive seeking employment with reputable organization where my skills and training can be a positive contribution to company.

Highlights of Qualifications:

- Exceptional experience in a Compliance role within the financial services and funds industry
 - Good expertise in the interpretation of legislation and regulation relating to financial services
 - Huge knowledge in implementing assurance and compliance frameworks, processes, tools and technology in a complex environment
 - Outstanding knowledge of AML, Data Protection and Consumer Protection related regulation
 - Solid written and verbal communication skills and positive interpersonal skills
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Professional Experience:

Compliance Executive
Bank Of America, Fort Worth, KS
August 2007 – Present

- Ensured reliability of all material controls for internal and external purposes.
- Managed and implemented annual risk-based business assurance and compliance monitoring program.
- Prepared Terms of Reference and testing plans for assigned reviews.
- Tested relevant controls and processes.
- Prepared reports and action plans related discrepancies.

Compliance Executive
Citigroup, Fort Worth, KS
May 2004- July 2007

- Advised to operational and support departments including Transfer Agency and Fund Accounting.
 - Assisted in the provision of support to Compliance and Business Projects.
 - Assisted in and supported Compliance Strategy & Program.
 - Managed Compliance Department's Compliance Monitoring Program.
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Education:

Bachelor's Degree in Business
Naropa University, Boulder, CO

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