COMPLIANCE OFFICER CV

In making a Compliance Officer CV, it is best to have a skills section that would reflect your areas of expertise at first glance. You can impress potential employers by presenting information such as extensive knowledge on rules and regulations of different agencies, ability to develop and utilize monitoring techniques, experience working within different areas (Finance, Planning, Funding, etc.), and dexterity in SEC and NFA rules and regulations among others. Presenting a detailed summary of all your related professional experience in reverse chronological order reflects credibility. Make a CV that will stand out by following the CV sample of a Compliance Officer below.

Nissim Bass

P.O. Box 611, 1376 Vitae, Ave, Bridgwater, Somerset, HJ3F 9NE

Tel: – 01904 282692 [email]

Date of Birth: – 08/12/91 Nationality: – British

MY OBJECTIVE:

My goal as a Compliance Officer is to ensure that all the people involved in the company, from the Board of Directors to the employees, are following the internal and external regulations and policies and ultimately contribute to the progress of the company. Equipped with strong background in planning, developing, and implementation of compliance programs, I am positive that this objective can be achieved. My experience as a Compliance Officer in two different companies have broadened my understanding of SOP of corporate establishments and enhanced my skills of objectivity in implementing compliance programs. With this said, I am positive that I will be able to provide a significant contribution to the company.

KEY SKILLS & QUALITIES:

- Hands-on experience in performing compliance reviews within organization
- Good knowledge of SEC and NFA regulations
- Sound knowledge of COBS, COLL and TCF
- Familiarity with asset management process
- Ability to access business standards and advisory business
- Ability to perform regulatory reviews and equities monitoring

EMPLOYMENT AND EXPERIENCE:

Compliance Officer Panoramic Associates Ltd – Berkshire Feb 2013 to Current

- Developed compliance program for the company.
- Developed action plans to address all regulatory risks.
- Assessed business risks and provided recommendations.
- Participated in monthly and annual compliance reviews.
- Ensured that company meets its regulatory requirements.
- Provided training on compliance standards to employees.

Compliance Officer Willis Group – Clackmannanshire Aug 2012 to Feb 2013

- Reviewed and recommended improvements to existing compliance programs.
- Maintained company's FSA and SEC files.
- Ensured business advisory was in compliance with FCA and TCF rules.
- Identified regulatory breach and escalated to management.
- Provided regulatory expertise to firm to meet objectives.
- Reviewed client files, business documents and due diligence records.

QUALIFICATIONS:

BA (Hons) in Criminal Justice
Kingston University – Kingston Upon Thames
Sep 2009 to Jun 2012
A-levels: English Language, Law, History, Economics
Bilborough College – Bilborough
Oct 2007 to Jun 2009
GCSEs: English Language, Law, History, Science
Chestnut Grove School – Balham
Sep 2002 to Jun 2007

Nissim Bass

P.O. Box 611, 1376 Vitae, Ave, Bridgwater, Somerset, HJ3F 9NE

Tel: – 01904 282692 [email]
Date of Birth: – 08/12/91 Nationality: – British

MY OBJECTIVE:

My goal as a Compliance Officer is to ensure that all the people involved in the company, from the Board of Directors to the employees, are following the internal and external regulations and policies and ultimately contribute to the progress of the company. Equipped with strong background in planning, developing, and implementation of compliance programs, I am positive that this objective can be achieved. My experience as a Compliance Officer in two different companies have broadened my understanding of SOP of corporate establishments and enhanced my skills of objectivity in implementing compliance programs. With this said, I am positive that I will be able to provide a significant contribution to the company.

KEY SKILLS & QUALITIES:

- Hands-on experience in performing compliance reviews within organization
- Good knowledge of SEC and NFA regulations
- Sound knowledge of COBS, COLL and TCF
- Familiarity with asset management process
- Ability to access business standards and advisory business
- Ability to perform regulatory reviews and equities monitoring

EMPLOYMENT AND EXPERIENCE:

Compliance Officer Panoramic Associates Ltd – Berkshire Feb 2013 to Current

- Developed compliance program for the company.
- Developed action plans to address all regulatory risks.
- Assessed business risks and provided recommendations.
- Participated in monthly and annual compliance reviews.
- Ensured that company meets its regulatory requirements.
- Provided training on compliance standards to employees.

Compliance Officer Willis Group – Clackmannanshire Aug 2012 to Feb 2013

- Reviewed and recommended improvements to existing compliance programs.
- Maintained company's FSA and SEC files.
- Ensured business advisory was in compliance with FCA and TCF rules.
- Identified regulatory breach and escalated to management.
- Provided regulatory expertise to firm to meet objectives.
- Reviewed client files, business documents and due diligence records.

QUALIFICATIONS:

BA (Hons) in Criminal Justice
Kingston University – Kingston Upon Thames
Sep 2009 to Jun 2012
A-levels: English Language, Law, History, Economics
Bilborough College – Bilborough
Oct 2007 to Jun 2009
GCSEs: English Language, Law, History, Science
Chestnut Grove School – Balham
Sep 2002 to Jun 2007

Build your Resume Now