
Compliance Officer Resume

Job Objective

Seeking long-term Compliance Officer position in which my professional experiences and special qualifications will help encourage the growth of both my organization and myself.

Highlights of Qualifications:

- Possess experience in compliance and regulatory affairs
 - Thorough knowledge of Financial Services rules and regulations
 - Strong knowledge of Compliance Risk Management and best practices
 - Ability to interpret written guidelines and legal documents
 - Good understanding of required elements of compliance programs
 - Ability to effectively deal with senior management
 - Excellent problem solving, analytical ability, oral and written communication skills
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Professional Experience:

Compliance Officer, August 2005 – Present
BNY Mellon, Warsaw, IN

- Satisfied a multitude of client compliance reporting requirements, including client correspondence and completion of compliance certifications.
- Completed all appropriate filings to ensure adherence with federal and state regulatory requirements.
- Supported the compliance group and legal department with special projects when needed.
- Worked with appropriate client service/relationship management to get all required documents to open a new account.
- Coordinated new business acceptance committee meetings to review and approve all new business.

Compliance Officer, May 2000 – July 2005
Boston Company Asset Management, LLC., Warsaw, IN

- Worked with the portfolio management teams, trading and IT departments to code restrictions and guidelines in the system.
 - Collaborated with the Product Development group and the portfolio management teams on drafting new standard investment guidelines.
 - Worked on complex projects involving compliance related matters independently and with other members.
 - Responsible for certain operational risk responsibilities, such as firm-wide risk assessments and trade error resolution.
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Education:

Bachelor's Degree in Business Administration, Imperial Valley College, Imperial, CA
Master's Degree in Business Administration, Kent State University, Kent, OH

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