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# FINANCIAL EXAMINER RESUME

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## Job Objective:

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To use my skills to obtain the Financial Examiner position and help the company benefit from my expertise in this field.

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## Highlights of Qualifications:

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- Good understanding of financial and accounting issues related to the regulated industries
  - Familiarity with Self-Regulatory Organization and SEC rules and regulations, and generally accepted accounting principles
  - Ability to evaluate the financial, operational, supervisory and internal control procedures
  - Ability to learn common accounting practices used in the banking industry
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## Professional Experience:

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Financial Examiner, August 2005 – Present  
Finra, Longview, TX

- Examined and analyzed financial and operational compliance of Floor members and member organizations.
- Examined members and member organization books and records to verify that their activities are in accordance with applicable SRO and SEC rules and regulations.
- Reviewed subordination agreements for adherence with SEC and Exchange requirements.
- Collaborated in a team environment and interacted with senior member firm and FINRA personnel.

Financial Examiner, May 2000 – July 2005  
Financial Industry Regulatory Authority Inc., Longview, TX

- Established guidelines for procedures and policies that complied with new and revised regulations and directed their implementation.
  - Planned, supervised and analyzed work of assigned subordinates.
  - Supervised other examiners in the financial examination process.
  - Recommended actions to ensure adherence with laws and regulations to protect solvency of institutions.
  - Reviewed balance sheets, operated income and expense accounts and loan documentation to confirm institution assets and liabilities.
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## Education:

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Bachelor's Degree in Accounting, Johnson & Wales University, North Miami, FL

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