
FINANCIAL EXAMINER RESUME

Job Objective:

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

Highlights of Qualifications:

- 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:

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:

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

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