



ETHAN MARTINEZ

Client Compliance Specialist

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SKILLS



INTERESTS

- DIY Projects Crafting
- Meditation History

STRENGTHS

- Humility Innovation
- Insightfulness Integrity

LANGUAGES



ACHIEVEMENTS

- Enhanced compliance reporting processes, reducing audit discrepancies by 20%.
- Developed and delivered compliance training programs, increasing employee participation by 30%.

PROFESSIONAL SUMMARY

Results-focused Client Compliance Specialist with two years of experience in regulatory compliance, risk assessment, and audit management. Skilled in analyzing compliance reports, conducting training sessions, and collaborating with teams to ensure adherence to industry standards. Eager to contribute to a robust compliance framework that supports organizational integrity and adapts to evolving regulations.

WORK EXPERIENCE

- Client Compliance Specialist** Apr / 2024-Ongoing
Blue Sky Innovations Chicago, IL
- Supported the Chief Compliance Officer in executing compliance-related projects, ensuring accurate regulatory filings through CRD.
 - Analyzed daily TRACE, OATS, and MSRB reports to identify compliance issues and trends.
 - Monitored and updated outside business activities and brokerage accounts, ensuring adherence to compliance standards.
 - Implemented quarterly and year-end attestations, enhancing compliance verification processes.
 - Reviewed daily AML reports to ensure timely detection of suspicious activities.
 - Executed Client Information Profile verifications using Lexis-Nexis Bridger Insight, ensuring data accuracy.
 - Assisted in preparing for internal and regulatory audits, maintaining thorough documentation and effective communication.

- Compliance Specialist** Apr / 2023-Apr / 2024
Summit Peak Industries Denver, CO
- Prepared compliance documentation for regulatory reviews, ensuring accuracy and completeness.
 - Conducted outreach to clients for compliance information, enhancing data collection efforts.
 - Participated in compliance team meetings to discuss regulatory updates and compliance strategies.
 - Maintained organized records of compliance-related communications and documentation.
 - Developed process maps for compliance workflows, improving team understanding of procedures.
 - Collaborated with IT to enhance compliance tracking systems, improving operational efficiency.

EDUCATION

- Bachelor of Science in Business Administration** Apr / 2022 - Apr / 2023
University of Florida Denver, CO
- Focused on compliance, risk management, and business ethics.