

ROBERT SMITH

Sr. Director Of Compliance

Phone: (0123)-456-789 | Email: info@qwikresume.com | Website: Qwikresume.com

SUMMARY

Self -motivated individual with a passion for human services who works well in stressful and adverse situations. Organized and thorough with a constant commitment to confidentiality while maintaining personal and professional standards. Passionate about giving back to the community in order to foster increased self awareness and education for consumers.

CORE COMPETENCIES

Budget and Forecast, Cash Management, Operations Finance.

PROFESSIONAL EXPERIENCE

Sr. Director Of Compliance

ABC Corporation - March 2005 – March 2007

Key Deliverables:

- Supervised a staff of 6 in three different states and was apart of an integral team that designed a software program to predict and grade production .
- Corporated compliance oversight for the Domestic Accident and Health Division of Chartis.
- Compliance oversight includes, regulatory review and examinations consumer complaint resolution, OFAC compliance, privacy issues, monitoring and testing, risk assessment oversight and remediation, legislative and advertising review.
- Developed and implemented policies and procedures to comply with the Department of Treasurys Office of Foreign Assent Control.
- Investigated and resolved potential violations and serve as Division point person for all OFAC related questions/inquiries.
- Identified training deficiencies and develop training necessary to meet needs.
- Directred the privacy policy and strategy for the applicable member companies for compliance with GLBA and HIPAA.

Director Of Compliance

Delta Corporation - 2000 – 2005

Key Deliverables:

- Monitoring and testing of operations against regulatory requirements and corporate policies and procedures.
- Review Federal and state legislative and regulatory activity and initiatives, along with other applicable state agencies (e.g., States Attorneys General), in each jurisdiction in which the AIG member companies conduct business, against existing operational procedures.
- Make recommendations to management and oversee implementation of necessary changes.
- Administered compliance and regulatory controls of this securities brokerage firm.
- Managed all natural gas compliance activities.
- Y2K program lead for gas utility division.

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- Oversee table game approvals, movements and shipments; electronic gaming device approvals, movements and shipments; approval or review of promotions .

EDUCATION

- Bachelor of Science in Marketing - (Franklin University - Columbus, OH)