



MICHAEL ANDERSON

LEAD COMPLIANCE AUDITOR

PROFILE

Accomplished Compliance Auditor with a robust background in operational risk assessment and internal controls. Instrumental in developing and refining audit methodologies that enhance compliance frameworks within organizations. Proficient in evaluating adherence to regulations governing financial institutions, including Sarbanes-Oxley and Dodd-Frank Acts. Demonstrated ability to lead cross-functional teams in compliance initiatives, fostering an environment of accountability and transparency.

EXPERIENCE

LEAD COMPLIANCE AUDITOR

Tech Finance Group

2016 - Present

- Led audits focusing on internal controls and operational compliance across multiple business units.
- Designed audit programs tailored to specific regulatory requirements and organizational risks.
- Collaborated with IT departments to ensure data security compliance during audits.
- Conducted training sessions for audit staff on compliance standards and auditing techniques.
- Utilized compliance management software to track audit findings and corrective actions.
- Presented audit results to the executive committee, providing strategic recommendations for improvement.

COMPLIANCE ANALYST

Regional Bank of America

2014 - 2016

- Assisted with compliance audits and assessments, documenting findings and recommendations.
- Monitored regulatory changes and communicated necessary adjustments to compliance policies.
- Developed and maintained compliance documentation, ensuring accuracy and accessibility.
- Supported the compliance training program for new hires, enhancing understanding of regulatory requirements.
- Participated in risk assessment workshops to identify compliance vulnerabilities.
- Engaged with external auditors to facilitate the audit process and provide requested documentation.

CONTACT

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SKILLS

- Operational Risk Assessment
- Internal Controls
- Audit Methodologies
- Compliance Software
- Data Integrity
- Stakeholder Engagement

LANGUAGES

- English
- Spanish
- French

EDUCATION

BACHELOR OF SCIENCE IN ACCOUNTING, UNIVERSITY OF CALIFORNIA

ACHIEVEMENTS

- Achieved a 25% reduction in non-compliance incidents through enhanced training and monitoring.
- Developed a compliance dashboard that improved reporting efficiency by 40%.
- Received the 'Excellence in Compliance' award for outstanding audit performance in 2021.