



MICHAEL ANDERSON

INVESTMENT COMPLIANCE MANAGER

CONTACT

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-  San Francisco, CA

SKILLS

- financial regulations
- compliance management
- risk mitigation
- audit coordination
- regulatory reporting
- stakeholder engagement

LANGUAGES

- English
- Spanish
- French

EDUCATION

**BACHELOR OF SCIENCE IN FINANCE -
NEW YORK UNIVERSITY, 2016**

ACHIEVEMENTS

- Achieved a 25% reduction in compliance-related errors through process improvements.
- Awarded the Compliance Leadership Award for contributions to organizational compliance culture.
- Implemented a compliance dashboard that enhanced reporting efficiency by 50%.

PROFILE

Highly skilled Investment Compliance Specialist with a robust background in financial regulation and compliance management. Demonstrates proficiency in assessing compliance risks and implementing effective controls to safeguard organizational integrity. Expert in navigating complex regulatory environments and ensuring adherence to evolving financial legislation. Proven track record of collaborating with stakeholders to enhance compliance frameworks and optimize operational efficiency.

EXPERIENCE

INVESTMENT COMPLIANCE MANAGER

Premier Wealth Advisors

2016 - Present

- Led compliance initiatives to ensure alignment with SEC regulations and industry standards.
- Developed comprehensive compliance risk assessment methodologies and frameworks.
- Oversaw the implementation of compliance monitoring systems and reporting tools.
- Engaged with external auditors to facilitate compliance reviews and assessments.
- Conducted training sessions for investment teams on compliance obligations and best practices.
- Prepared detailed compliance reports for executive leadership and regulatory agencies.

COMPLIANCE ANALYST

Strategic Investment Group

2014 - 2016

- Assisted in the development and maintenance of compliance policies and procedures.
- Monitored client portfolios for compliance with investment guidelines and regulations.
- Identified compliance risks and recommended appropriate mitigation strategies.
- Supported internal investigations related to compliance breaches and irregularities.
- Engaged in continuous monitoring of regulatory changes impacting investment operations.
- Prepared compliance documentation for regulatory audits and reviews.