

MICHAEL ANDERSON

Regulatory Compliance Officer

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Experienced Investment Compliance Specialist with a strong foundation in financial regulations and compliance management. Proficient in assessing compliance risks and implementing effective control measures to uphold regulatory standards. Demonstrated ability to conduct thorough compliance audits, identify gaps, and recommend actionable solutions to enhance compliance frameworks. Known for fostering effective communication with cross-functional teams to ensure compliance awareness and adherence.

WORK EXPERIENCE

Regulatory Compliance Officer | Integrity Investment Group

Jan 2022 – Present

- Oversaw compliance audits to ensure adherence to financial regulations.
- Developed compliance policies and procedures for investment operations.
- Monitored investment portfolios for compliance with regulatory standards.
- Assisted in preparing compliance documentation for audits.
- Conducted training sessions for staff on compliance best practices.
- Engaged in continuous monitoring of compliance risks.

Compliance Analyst | Pinnacle Financial Advisors

Jul 2019 – Dec 2021

- Supported compliance audits and evaluations of investment practices.
- Maintained compliance documentation in alignment with regulatory guidelines.
- Assisted in developing compliance training for investment teams.
- Monitored regulatory changes affecting investment operations.
- Prepared compliance reports for management review.
- Engaged with stakeholders to enhance compliance awareness.

SKILLS

financial regulations compliance management risk assessment audit compliance training development
stakeholder communication

EDUCATION

Bachelor of Commerce in Finance - University of Toronto

2015 – 2019

2015

ACHIEVEMENTS

- Achieved a 20% reduction in compliance violations through effective training initiatives.
- Recognized for excellence in compliance reporting and audit accuracy.
- Developed a compliance manual that streamlined processes organization-wide.

LANGUAGES

English Spanish French