



MICHAEL ANDERSON

COMPLIANCE SPECIALIST

PROFILE

Highly skilled Securities Compliance Officer with extensive experience in the oversight of compliance programs within the investment banking sector. Recognized for a strategic approach to compliance management, ensuring alignment with both internal policies and external regulations. Expertise in conducting thorough compliance audits and developing actionable recommendations to enhance compliance frameworks. Proficient in utilizing advanced compliance monitoring systems to track adherence to regulatory changes and internal policies.

EXPERIENCE

COMPLIANCE SPECIALIST

Premier Investment Bank

2016 - Present

- Monitored compliance with FINRA regulations and reported findings to executive management.
- Developed comprehensive compliance policies and procedures to address emerging regulatory requirements.
- Conducted training sessions for employees on compliance-related topics and best practices.
- Assisted in the preparation of compliance-related documentation for regulatory audits.
- Analyzed compliance metrics and prepared detailed reports for the compliance committee.
- Served as a key liaison between the compliance department and operational teams.

JUNIOR COMPLIANCE OFFICER

Capital Markets Group

2014 - 2016

- Supported senior compliance officers in conducting compliance audits and reviews.
- Assisted in the development of compliance training materials for new hires.
- Reviewed and monitored client account activities for potential compliance breaches.
- Maintained compliance documentation and ensured accurate record-keeping.
- Participated in regulatory examinations, providing necessary documentation and support.
- Contributed to the enhancement of compliance reporting tools for improved tracking.

CONTACT

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- 📍 San Francisco, CA

SKILLS

- Compliance Auditing
- Regulatory Analysis
- Training Facilitation
- Risk Mitigation
- Data Analysis
- Stakeholder Communication

LANGUAGES

- English
- Spanish
- French

EDUCATION

BACHELOR OF ARTS IN FINANCE - NEW YORK UNIVERSITY

ACHIEVEMENTS

- Successfully reduced compliance errors by 25% through enhanced training initiatives.
- Played a pivotal role in achieving a positive outcome during a major regulatory examination.
- Recipient of the Employee of the Month award for exceptional performance in compliance monitoring.