



# MICHAEL ANDERSON

## COMPLIANCE MANAGER

### CONTACT

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### SKILLS

- regulatory analysis
- compliance reporting
- project management
- risk assessment
- communication skills
- team leadership

### LANGUAGES

- English
- Spanish
- French

### EDUCATION

BACHELOR OF SCIENCE IN FINANCE,  
UNIVERSITY OF MICHIGAN

### ACHIEVEMENTS

- Streamlined compliance processes, resulting in a 25% reduction in compliance-related costs.
- Recognized for successfully leading a project that improved compliance training effectiveness.
- Authored a compliance handbook that became the standard reference for the organization.

### PROFILE

Highly analytical Securities Regulatory Analyst with a robust background in financial compliance and regulatory reporting. Expertise in interpreting complex securities regulations and advising organizations on compliance obligations. Proven track record of successfully managing compliance projects from inception to completion, ensuring timely delivery and adherence to regulatory standards. Skilled at leveraging analytical tools to assess compliance risks and develop actionable solutions.

### EXPERIENCE

#### COMPLIANCE MANAGER

##### Capital Advisors Group

2016 - Present

- Managed the compliance department, overseeing a team of analysts and associates.
- Developed compliance reporting frameworks that improved transparency and accountability.
- Conducted risk assessments that identified key compliance vulnerabilities within the organization.
- Implemented automated compliance monitoring tools, enhancing efficiency by 40%.
- Coordinated with legal teams to ensure proper interpretation of securities laws.
- Presented compliance findings and recommendations to senior management regularly.

#### SECURITIES REGULATORY ANALYST

##### Equity Partners LLC

2014 - 2016

- Reviewed and analyzed regulatory filings to ensure compliance with SEC requirements.
- Assisted in the preparation of compliance documentation for audits and reviews.
- Worked closely with the trading desk to monitor compliance with trading regulations.
- Developed training materials to educate staff on regulatory changes affecting operations.
- Performed ongoing monitoring of compliance metrics and reported findings to management.
- Participated in industry conferences to enhance knowledge of regulatory trends.