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SKILLS

- strategic compliance
- risk assessment
- compliance audit
- training facilitation
- regulatory affairs
- leadership

EDUCATION

MASTER OF BUSINESS ADMINISTRATION (MBA), UNIVERSITY OF CHICAGO

LANGUAGE

- English
- Spanish
- German

ACHIEVEMENTS

- Successfully led compliance initiatives resulting in a 40% increase in compliance efficiency.
- Received the Client Excellence Award for outstanding service and results in compliance consulting.
- Authored multiple articles in industry publications on compliance best practices.

Michael Anderson

LEAD COMPLIANCE CONSULTANT

Strategic Securities Regulatory Analyst with an extensive background in compliance and regulatory affairs within the financial services sector. Proven expertise in assessing regulatory frameworks and ensuring organizational adherence to compliance mandates. Highly skilled in conducting compliance audits, risk assessments, and developing proactive compliance strategies. Recognized for strong leadership abilities, fostering collaboration among teams to achieve compliance objectives.

EXPERIENCE

LEAD COMPLIANCE CONSULTANT

Wealth Trust Corporation

2016 - Present

- Directed compliance consulting projects for high-profile clients in the financial sector.
- Developed tailored compliance strategies to address unique regulatory challenges.
- Conducted workshops and training sessions for client teams on compliance best practices.
- Managed compliance audits, ensuring adherence to regulatory standards.
- Created compliance documentation and reports for client review and regulatory submission.
- Monitored industry trends to provide clients with timely compliance insights.

SECURITIES COMPLIANCE OFFICER

Equity Holdings

2014 - 2016

- Executed compliance assessments for securities trading activities to ensure regulatory adherence.
- Collaborated with trading and operations teams to develop compliance frameworks.
- Conducted training programs on compliance requirements for trading staff.
- Reviewed and approved promotional materials for compliance with securities regulations.
- Engaged with regulators to address compliance inquiries and audits.
- Prepared and presented compliance reports to executive management.