

Sample Name

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COMPLIANCE MANAGER

Highly qualified Compliance Manager with extensive experience advising technology companies on operating procedures and business practices in compliance with state and federal regulatory requirements. Background in evaluating testing procedures, business courtesies, export/import controls and third-party payment and monitoring oversight procedures with advanced technology. Demonstrate influential leadership, client relations and advocacy, and consensus building to achieve results. Research and analyze rules and regulations and devise high-impact strategies to mitigate risk.

CORE QUALIFICATIONS

- ✓ Relationship Cultivation & Management
 - ✓ Cross-Functional Team Collaboration
 - ✓ Technology Industry & Ethics
 - ✓ Policy & Procedure Design & Implementation
 - ✓ Internal Investigations
 - ✓ Regulatory Documentation
 - ✓ Leadership & Consensus Building
 - ✓ Regulatory Compliance & Audit
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PROFESSIONAL EXPERIENCE

AWESOME CORPORATION, Perfect, CA,
Compliance Manager, October 2017-present

- ◆ Developed and trained employees on a risk-based compliance program for a software based tech start-up
- ◆ Executed a new payment process with Asian broker resulting in a 2.5% savings on the cost of money
- ◆ Implemented document management standards and protocols as well as initial implementation of a QMS organizationally
- ◆ Trained Vice Presidents and all Executive Directors on enactment of auditing response plans and behaviors

WOW CORPORATION, Wow, CA

Compliance Analyst, March 2014-September 2017

- ◆ Conducted 50 internal investigations regarding potential violations of FCPA, anti-harassment and Code of Conduct violations
- ◆ Increased participation in compliance training by 10% after reviewing monthly compliance training reports and surveying participating and non-participating employees to propose a solution
- ◆ Conducted focus groups with individual contributors, middle managers and executives to assess corporate culture and summarized findings for Chief Compliance Officer to develop presentations for Board of Directors
- ◆ Interfaced with business unit managers to ensure compliance with ISO 37001

MEGA POWER INC., Wonderful, CA

Compliance Specialist, May 2012-February 2014

- ◆ Created daily import-export compliance tracking system and department audits resulting in a company savings of \$450,000 annually
- ◆ Created monthly compliance newsletter for business unit managers to keep up with changes in trade and payment regulations
- ◆ Maintained compliance mailbox and responded to emails from internal and external customers

NEAT BUSINESS, Interesting, CA

Human Resources Assistant, January 2010- April 2012

- ◆ Trained 25-member management team on interviewing techniques and best practices conducting workshops and coaching sessions that contributed to sound hiring decisions
 - ◆ Co-developed company's first standardized disciplinary procedures and tracking system that insulated company from legal risk and ensured consistent and fair discipline processes
 - ◆ Reduced reliance on employment agencies by bringing outsourced recruiting functions in-house resulting in a \$250,000 cost savings annually
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EDUCATION

SANTA CLARA UNIVERSITY SCHOOL OF LAW – SANTA CLARA, CA

MASTERS OF LEGAL STUDIES IN CORPORATE COMPLIANCE CANDIDATE, EXPECTED MAY 2020

UNIVERSITY OF FANTASTIC – FANTASTIC, CA

B.A. IN BUSINESS ADMINISTRATION, JUNE 2000