Broker Dealer CCO

# EXPERIENCE:

**ABC, LLC** New York, NY

***Chief Compliance Officer/Chief Operating Officer x/xxxx– Present***

Developed, enforced and continuously strengthen compliance program of a full-service Broker Dealer with over $100 million in Regulatory Capital. Collaborate regularly with Managing Partners, IT Developers and Operations Department to develop efficient and automated solutions for surveillance and testing.

* Direct contact for all FINRA/SEC exams, inquiries and correspondence
* In charge of Firm Element CE, AML program, and all day to day compliance advisory of trading desks
* Completed CMA for ownership change and Marcon filings for additional business lines
* Part of overall strategic management team responsible for transition to a certified MBE Broker Dealer
* Directed expansion of three new Firm offices and conducted profitability analysis of new business lines
* Conduct compliance training for new-hires and topical training for all employees
* Responsible for supervising all Firm vendor contracts, expenses, and relationships

**XYZ Securities LLC** New York, NY

***Assistant Director Compliance and Operations x/xxxx – x/xxxx***

Developed compliance program for boutique institutional research and equity trading firm, while working directly with Managing Partners to guide overall firm strategy.

* Conducted compliance reviews of all XYZ Research product
* Handled a variety of trading and execution questions, including MNPI inquiries
* Prepared Annual Compliance Reviews and presented findings to Managing Partners
* Handled Firm Element CE, employee trading reviews, AML program, and electronic communication reviews
* Responded to all Regulatory Inquiries, FINRA/SEC Correspondence, and exam requests
* Independently developed a risk matrix which addressed risks related to the Firm’s business
* Managed Research Invoicing, Sales Commissions, and Firm expenses
* Collaborated with Managing Partners on Firm strategy and assisted with Firm Operational decisions

**Big 4 Accounting Firm** New York, NY

***Capital Markets Advisory x/xxxx – x/xxxx***

* Member of Big 4 Capital Markets Regulatory Compliance/Technology and Operations Division
* Managed a team of compliance associates to ensure team executed on all client deliverables
* Conducted Audits, Examinations, and GAP Analyses for Broker Dealer and Bank clients
* Presented findings and Strategic Management Solutions to Big 4 Supervisors and Client Senior Management

**Prop Trading Firm** New York, NY

## Director of Compliance x/xxxx-x/xxxx

* Supervised OTC Equity Sales Trading/Market Making Desk
* Handled all TMMS exams, Regulatory Inquiries, and FINRA/SEC Correspondence
* Firm AML Compliance Office; developed AML training program and KYC procedures
* Developed Firm Risk Committee and internal Quarterly Compliance Review procedure
* Conducted quarterly compliance reviews for all desks
* Familiar with all current FINRA rules specifically Reg NMS, OATS, and AML

# EDUCATION:

# ABC COLLEGE: New York, NY

* Bachelor of Science - ABC School of Management xxxx
* Double Major: Finance and Marketing

# PROFESSIONAL SKILLS & DESIGNATIONS

* Series 7, 24, 57, 63, and 99 Licensed
* Proficient with MSFT Suite, Bloomberg, and Sungard/BRASS, and Pershing trading systems