Text, whiteboard

Description automatically generated**Candidate Name**

**Experience**

**$5B Private Equity Firm**, New York, NY **January xxxx – Present**

*Chief Compliance Officer (March xxxx – Present)*

*Compliance Manager (January xxxx – February xxxx)*

* Responsible for the overall compliance program and address all regulatory compliance matters for the firm and its affiliated subsidiaries which include an SEC registered investment adviser, and FINRA registered broker-dealer.
* Insource the Compliance function by training employees, running annual reviews, and monitoring personal trades in-house.
* Complete major regulatory filings in the US and Europe, including Form ADV, Form PF, and AIFMD reports.
* Sit on the board of a portfolio company entity based in Brazil and participate in the governance process.
* Plan the launch of an AIFMD-compliant fund in Luxembourg and lead ongoing investment/divestment approval requests.
* Manage IT consultants on all tasks, from routine support requests to system upgrades and cybersecurity improvements.
* Handle administrative projects, such as insurance renewals, employee on- and offboarding, and property management.
* Develop, oversee and prepare annual compliance review and periodic reports to senior management.
* Prepare and review training materials and provide compliance training to new hires and continuing education for existing employees to keep current on the changing regulatory environment
* Oversee regulatory filings and registrations including Form ADV and Form PF, among others
* Prepare for and assist with examinations or investigations conducted by SEC or other external parties
* Manage ongoing oversight of personal and firm trading policies, allocations of fund expenses, and compliance procedures relating to outside consultants.
* Responsible for the compliance training program.
* Review of all marketing materials to ensure adherence to SEC rules and regulations.
* Draft and review investor due diligence requests; participate in investor due diligence meetings.
* Design and manage reviews and testing of the compliance program.
* Revamped annual compliance review process, resulting in significant savings and meaningful remedial action.
* Review marketing materials and advise on compliance with various global marketing regimes.
* Draft compliance training materials and conduct compliance training.
* Oversee all global regulatory filings, Code of Ethics matters, and firm’s cybersecurity and vendor management program.
* Add, edit, and implement policies in Compliance Manual.
* Oversee implementation of portfolio-wide cybersecurity measures.
* Create and implement information barrier policies and procedures between public and private equity strategies.
* Created Best Execution Committee to evaluate firm’s trading execution quality and serve as Chair.
* Revamped expert network-related policies and procedures.

**Global Private Equity Firm**, New York, NY **June xxx – December xxxx**

*Compliance Analyst*

* Assisted with updating and filing the Form ADV Part 1 and 2 for each registered investment adviser.
* Reviewed firm marketing materials covering a variety of strategies and completed certain investor due diligence questionnaires.
* Conducted Compliance manual and Code of Ethics training for new hires and create/administer the Annual Compliance Training, Marketing Training and Broker Dealer training.
* Utilized industry standard software programs like Compliance Science (PTCC), Global Relay, StarCompliance, Everest and Mindflash to support employee compliance with firm policies and procedures.
* Monitored political contributions daily and developed a new political contributions and lobbying policy.
* Responsible for drafting internal compliance reviews and testing memorandums for various workstreams.

**Education**

**ABC University**, New York, NY **May xxxx**

*Bachelors of Arts, Business and Finance*

* GPA: 3.7

**Skills**

Proficient in Microsoft Office, Series 7, Series 63