**VP, Compliance Candidate**

**EXPERIENCE**

**Private Equity Firm**, New York, NY **May 2008 – Present**

*Legal & Compliance Vice President (2020 – Present)*

*Legal & Compliance Senior Associate (2015 – 2020)*

*Legal & Compliance Associate and Paralegal (2012 – 2015)*

* Provide sole support to the Legal and Compliance Group for both the New York and London offices; directly report to both the General Counsel and Chief Compliance Officer; interact with various department heads and managing directors on a daily basis; member of internal Compliance Committee to review and approve actions and documentation.
* Draft and amend policies and procedures for internal Code of Ethics and Compliance Manual.
* Responsible for all AML/KYC diligence requests, including the preparation of assurance letters and related materials.
* Assist with the management of and response to SEC examination and prior mock examinations.
* Prepare, review and coordinate various regulatory applications and filings with counsel and compliance consultants, including annual Form ADV and recent filings with the U.S. Office of the Comptroller of the Currency, Federal Financial Supervisory Authority (Germany), the Reserve Bank of India, the Kanto District Bureau (Japan) and the Dutch Central Bank.
* Compose minutes and maintain related supporting documentation for the following internal committees: Investment Committee, Limited Partner Advisory Committee and Proxy Voting Committee.
* Conduct internal testing required under the Code of Ethics and Compliance Manual, including investor privacy, expert networks and vendor management.
* Assist with Annual Compliance Review.
* Facilitate the onboarding and exit process for firm employees and interns.
* Prepare offer, admission and termination letters; coordinate with IT, Finance and outside vendors for efficient transitions.

*Paralegal (2008 – 2012)*

* Updated form of Restricted Lists and Employee Compliance Tracking; continued to monitor and test related activity.
* Developed organizational system for the legal documentation for the investment adviser, funds and portfolio company investments; continued to maintain all books and records related to the Legal and Compliance Group.
* Reviewed and negotiated confidentiality agreements and tax allocation letters.
* Recording secretary for portfolio investments ABC National Bank and XYZ Valley Bancorp.

**Global Investment Bank**, New York, NY **April 2007 – May 2008**

*Paralegal*

* Reviewed and negotiated confidentiality agreements, tax allocation letters and similar documentation for the Investment Banking and Merchant Banking divisions.
* Coordinated with the internal Control Room personnel to maintain accurate information in the firm’s Watch/Restricted List system.
* Identified potential conflicts of interest and consulted with Compliance Officers.
* Maintained the internal database to track confidentiality agreements and engagement letters.

**Top Tier Law Firm**, New York, NY **June 2005 – April 2007**

*Corporate Legal Assistant*

* Compiled, reviewed and distributed closing transcripts.
* Drafted, revised and distributed transaction documents in several Securitization/Structured Finance deals each month.
* Interacted with a variety of contacts, including clients and outside counsel.
* Efficiently managed a high level of responsibility and facilitated transactional closings.

**EDUCATION**

**CONNECTICUT COLLEGE**, New London, CT **May 2005**

*Bachelor of Arts, Major in Government, Minor in Religious Studies*

* Magna Cum Laude; Pi Sigma Alpha member (Political Science Honor Society); Distinction in the Major

**INTERESTS & HOBBIES**

Current events and news; politics; contemporary literature; surfing; travel