

George Smith

Compliance Officer

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Profile Summary

Proactive and detail-oriented Compliance Officer with over 7 years of experience ensuring adherence to regulatory standards in the financial services sector. Skilled in risk management, process improvement, and employee training. Proven track record of mitigating compliance risks and fostering cultures of integrity and accountability.

Work Experience

Senior Compliance Officer

Global Finance Corp

1st Jan, 2018 - Present

- Implemented a comprehensive compliance program that increased regulatory adherence by 20%.
- Led a cross-functional team to automate compliance reporting, saving 15 hours weekly.
- Trained 200+ employees on new compliance policies, achieving 98% compliance rate in annual audits.

Compliance Specialist

Metropolitan Bank & Trust

1st May, 2015 - 31st Dec, 2017

- Drafted and revised compliance policies, reducing policy breaches by 30%.
- Conducted risk assessments that identified and resolved major compliance gaps, averting potential fines.
- Collaborated with legal team on corporate governance practices, enhancing board oversight effectively.

Education

Harvard University

Master of Laws (LL.M) in Corporate Law

1st Aug, 2013 - 31st May, 2015

University of California, Berkeley

Bachelor of Arts in Political Science

1st Sep, 2009 - 31st May, 2013

Skills

Risk Management, Regulatory Compliance, Process Improvement, Policy Development,

Employee Training, Report Automation

Notable Projects

Compliance Training Program

Developed and implemented a new compliance training program, effectively reducing training time by 30% and improving employee understanding of complex regulatory frameworks.

Certifications

Certified Regulatory Compliance Manager (CRCM)

Issued by American Bankers Association, 1st Jan, 2016

Certified Anti-Money Laundering Specialist (CAMS)

Issued by Association of Certified Anti-Money Laundering Specialists, 1st Jun, 2014

Awards

Excellence in Compliance Management

Awarded by National Compliance Institute, 1st Nov, 2019