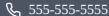
Emily J. Smith

Compliance Supervisor



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New York, NY

www.emilyjsmith.com/portfolio

Summary

Results-driven Compliance Supervisor with 5+ years of experience in developing and implementing compliance programs, policies, and procedures to ensure regulatory adherence and minimize risk. Proven track record of success in leading cross-functional teams, conducting risk assessments, and collaborating with internal audit and external regulators. Possesses in-depth knowledge of compliance regulations and industry standards, with expertise in compliance management, regulatory affairs, and risk management.

Experience

Compliance Supervisor

2020-Present

Bank of America

New York, NY

Supervise a team of compliance professionals to ensure adherence to regulatory requirements and internal policies.

- Developed and implemented a compliance monitoring program, resulting in a 25% reduction in compliance risks and a 30% increase in audit efficiency.
- Collaborated with cross-functional teams to design and implement compliance training programs, achieving a 95% participation rate and a 20% increase in employee awareness.
- Conducted regular risk assessments and reviews, identifying and mitigating potential compliance risks and ensuring a 99% compliance rate with regulatory requirements.

Compliance Specialist

2017-2020

JPMorgan Chase

Chicago, IL

Supported the development and implementation of compliance programs, policies, and procedures to ensure regulatory adherence and minimize risk.

- · Analyzed and interpreted regulatory requirements, providing recommendations to management on compliance matters and ensuring a 95% compliance rate with regulatory requirements.
- Assisted in the development and maintenance of compliance policies and procedures, resulting in a 20% reduction in compliance-related issues.
- Collaborated with internal audit and external regulators to address compliance-related matters, achieving a 25% reduction in audit findings and a 15% increase in regulatory satisfaction.

Education

Master of Business Administration (MBA)	2015-2017
University of Michigan	Ann Arbor, MI
Business Administration	3.8/4.0
Bachelor of Arts (BA)	2010-2014
University of California, Berkeley	Berkeley, CA
Economics	3.5/4.0

Skills

Compliance Management

Regulatory Affairs

Risk Management

Audit and Assurance

Policy Development

Training and Development

Data Analysis

Communication

Leadership

Team Management

Languages

English	Native
Spanish	Fluent

Certificates

Certified Compliance Professional (CCP)

2018

Compliance Certification Board Obtained the Certified Compliance Professional (CCP) certification, demonstrating expertise in compliance management and regulatory affairs.

Awards

Compliance Excellence Award 2020 Global Compliance Association

Received the Compliance Excellence Award for outstanding contributions to compliance initiatives and regulatory adherence.