

# Emily J. Smith

## Compliance Supervisor



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### 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

Spanish

Native

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.