

John Roberts

123 The Street, The Town
The City NG1 234
01234 567890
roberts@gmail.com

Purpose-driven, results-oriented *Chief Compliance Officer* with comprehensive expertise in the interpretation of legislation and regulation relating to financial services, and in-depth knowledge of implementing assurance and compliance frameworks, processes, tools, and technology in a complex environment. Build and lead high-performing teams to execute strategy, compliance and management initiatives, enable revenue growth, strategic alliances, product launches, optimized product portfolios, mergers, and acquisitions. A people-centric leader with a high level of ethical standards and integrity, a demonstrated commitment to open, honest and direct communication, strong management and team-building background.

CORE SKILLS AND COMPETENCIES

- ✓ Payments | Mobile Payments
- ✓ Risk and Compliance Frameworks
- ✓ Fraud and Compliance Risk Management
- ✓ Corporate Governance
- ✓ Project Management
- ✓ Operational Risk Solutions
- ✓ Financial Crime Investigations
- ✓ FIU Implementation and Management
- ✓ Knowledge Management Systems
- ✓ Regulatory Policy Development
- ✓ AML and Fraud Risk Assessments
- ✓ Regulatory Technology (RegTech)
- ✓ Leadership and Innovation
- ✓ AML Monitoring and Testing

ACHIEVEMENTS

- ☑ Successfully managed the investigation of a fraud scheme involving a foreign criminal organization. Proactive detection and analysis of the suspicious activity prevented over \$800K in losses to the company.
- ☑ Collaborated with business development and product management to adapt the prepaid card program's risk/compliance controls for the new tax channel that resulted in \$2M+ in revenue.

PROFESSIONAL EXPERIENCE

SOME COMPANY - New York, NY

December 2015 - Present

President/CEO

- Expertly provide clients with consulting, outsourcing, testing, and training in the areas of technology, operational and compliance risk management.
- Efficiently assist clients with meeting regulatory requirements by integrating a lean risk and compliance framework, leveraging technology to maximize the effectiveness, cost efficiency and sustainability of risk and compliance solutions while supporting agile product innovation.
- Develop and conduct the Company's relationship with its issuing bank, including bank audits, marketing, and collateral review.
- Establish collaborative fraud notification system with the Company's processor, as well as reduce fraud losses by integrating automated Fraud & AML controls into the product and payments workflow.
- Provide support to Online and Mobile's overall regulatory strategy and relationships around the world.
- Collaborate with Business owners, Operation and Technology Risk Management, Legal, and technology teams to identify legal and regulatory obligations emanating from key legislative areas, including Information Security, Anti-Money Laundering, that impact the delivery of global technology solutions.

SOME COMPANY - New York, NY

September 2010 - November 2015

VP and Chief Compliance Officer

- Provided expert compliance counsel and guidance to the business in the design and implementation of products, customer interactions, processes and controls.
 - Demonstrated a high level of competence when managed the design and completion of assessment, monitoring and independent testing of compliance risk, in liaison with the business and Enterprise Compliance Risk Management.
 - Created a risk management methodology that leveraged technology integration to accelerate enhancements to compliance and risk management processes and systems globally.
 - Ensured the appropriate business-specific compliance policies, procedures, training and communications programs in place, in alignment with Company-wide policies and programs and appropriate for the business activities and inherent compliance risks.
 - Guaranteed the timely identification and resolution of systemic and process control failures that could cause service disruptions to customers, by managing the design and implementation of an integrated business self-testing, compliance monitoring, and the issue resolution process.
-

EDUCATION

State University, USA | 2010

Bachelor of Arts in Political Science and Communications