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#### COMPLIANCE MANAGER / OFFICER

With Compliance Background and Experience that includes:

\* Serving as a Compliance Manager / Consultant for Transactions Over \$150 Million Annually

Developing the Organization's Compliance Program & Achieving Savings of \$350,000  
Performing Risk Assessment & Reporting to Senior Management & Board of Directors  
Developing & Maintaining a Comprehensive Compliance & Resource Library  
Leading & Training Branch Teams in Compliance & Federal Regulatory Procedures

\* Offering Over 10 Years Experience with a Financial Institution under Strict Regulatory Guidelines:

Establishing Money Laundering, Financial & Accounting Controls, Policies & Procedures;

Conducting Reviews and Risk Assessments & Providing Recommendations on Corrective Action to Senior Management;

Possessing Excellent Working Knowledge of Regulatory Requirements Affecting Financial Institutions with In-depth

Knowledge of Financial Operations, Policies & Procedures; Develop and Customize Training Materials &

Train Staff in Regulatory Matters including BSA & USA Patriot Act Regulations

COMPLIANCE MANAGER / CONSULTANT S XXXX Exchange Co. Inc., Chicago, IL 1995-present

As appointed by the Board of Directors, function in the capacity of the company's designated Compliance Manager/ Consultant as approved by Board resolution. Sonali Exchange transacts more than \$150 million annually.

DEVELOP & MANAGE COMPLIANCE PROGRAM– Establish and maintain the company's compliance program for 8 locations spanning a 4-state region with responsibility for filing all regulatory, audit, tax and financial reports. Serve as Liaison between Banks, Regulatory Authorities, U.S. Law Enforcement Agencies, State Examiners, Auditors, FBI, and FinCEN. Track regulatory changes and update Compliance Program when applicable federal and state laws impact financial operations.

DEVELOPED COMPLIANCE PROGRAM SAVING \$350K plus – Successfully positioned XXXX Exchange at a satisfactory compliance CAMELS rating of 2 after

significant negative impact of 9/11/01. Continuously attend to extensive negotiation at executive levels with partnering and supplier banks. Serve as compliance subject matter expert which has provided significant annual savings by creating an in-house compliance program rather than outsourcing to external legal/regulatory experts. Took full responsibility to develop and implement the company's compliance program while multitasking on other project and maintaining deadlines.

**COMPLIANCE RISK ASSESSMENT & REPORTING** – Perform assessment of company's compliance related risks consistent with established internal transaction processes. Ensure timely reporting to senior management and Board of Directors of significant risk issues and serious lapses or breaches of the laws and regulations. Advise and assist the Board, Senior Management and Heads of Departments in discharging their duties and in Liaising with regulators, external/internal auditors and outside counsel on risk and compliance issues. Coordinate all meetings of senior management where recommendations have compliance implications. File all compliance related forms for the company.

**COMPLIANCE LIBRARY & RESOURCE MANAGEMENT** – Develop and maintain the company's compliance library and inventory of compliance resources for training and reference.

**LEADERSHIP & TRAINING OF BRANCH TEAMS IN COMPLIANCE ISSUES** – Provide compliance leadership to a team of 25 staff including Branch Managers. Train staff in transaction controls, policies and procedures to circumvent violations under Title 31; Code of the Federal Regulations, the BSA and USA Patriot Act regulations.

**OPERATIONS MANAGEMENT** The Hertz Corporation 1994- Present  
Concurrently working as a Station Manager, Distribution for the Hertz Corporation, a \$5 billion car rental agency.

**SUPERVISE AN HOURLY WORKFORCE OF 250 PLUS TO MOVE 15,000 CARS PER MONTH** – Manage departmental operations and oversee distribution of 5,000 to 15,000 vehicles per month. Supervise a team of 250 plus distribution drivers working 3 shifts. Use Microsoft Excel and Access to computerized database for historical information, forecasting and analysis. Manage and resolve customer relationship issues within a transaction volume of 1 million plus customers per year.

**MANAGE LOGISTICS WITHIN A 3-STATE REGION & CONTROL \$3M IN INVENTORY** – Responsible to maintain accurate records of the agency's monthly fleet of approximately 15,000 vehicles valued at \$375 million with further responsibility for allocating vehicles through a 3-state region comprising of New Jersey, New York and Connecticut. Manage daily distribution requirements of vehicles as per location's reservations made.

**MANAGED \$5M BRANCH OPERATION** – Prior to promotion as Station Manager, Distribution, served as a Station Manager overseeing a \$5 million branch operation, and supervising a team of 7. Managed operation, handled customer service and resolved transaction and product related problems within a volume of 5,000 customers per month.

**REGISTERED SALES REPRESENTATIVE** Any Company 1991- 1994

Sold, maintained and serviced various individual financial accounts including all types of insurance, annuities and mutual funds. Held Series 6, 63, Life and Health, Property and Casualty licenses. Successfully established over 100 new accounts in 15 months. Developed and maintained, from scratch, sales in a base of 200 plus customers during the recession of 1991.

**SUPERVISOR** Any Company 1986- 1990

Successfully worked and paid out of pocket for majority of my college education while gaining managerial experience with this world-leading organization.

**MANAGED OPERATIONS GENERATING \$10M IN ANNUAL REVENUE / SUPERVISED OVER 15 EMPLOYEES** – Managed operations to load a line of 50 package vehicles for a center handling about \$10 million in annual revenue. Directly supervised and trained a team of 10 people. Maintained motivation in the employees to ensure minimal absenteeism while instilling team effort and esprit de corps.

**TEAM LEADER** United States Marine Corps 1982-1986

Achieved rank of Corporal, a non-commission officer within 15 months. Served in Japan, Philippines, Diego Garcia, Panama and Cuba. Received top awards for physical fitness. Received honorable discharge.

**MANAGED TEAMS OF UP TO 30 PERSONNEL** – Trained and supervised teams of up to 30 personnel and directed use of major combat tactical equipment to include helicopter gun ships, artillery cannons and amphibious vehicles.

**EDUCATION & PROFESSIONAL CERTIFICATION**

Bachelor of Science - Finance & Accounting, XXX XXX University, 1991

CAMS Certification (Certified Anti-Money Laundering Specialist)

**COMPUTER SKILLS**

Use Excel, Word, Access, Peachtree Accounting and Acrobat Reader daily for database creation, monitoring, filing, and reporting.