

[NOTE: THIS IS A CV TEMPLATE AND IS NOT NECESSARILY CONSISTENT IN ITS CONTENT]

## Audrey Smith

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Nationality: British

[Include any visa restrictions]

### PROFILE:

*I have 6 years of Compliance monitoring experience, 4.5 years in Investment Management (including both the private client and asset management businesses) and 1.5 years Investment Banking. I have managed medium sized teams since 2002, with teams of 5 at X Bank and 4 at Y Bank (plus 3 dotted line reports regionally). I am currently an Audit Manager with global responsibilities in X Bank Group Audit team in London and am responsible for (not exclusively) the Global Compliance Audit plan, which in the main covers the investment bank, however my team has also participated in Compliance/AML reviews of both the Private Wealth Management and the Asset Management Businesses. My experience in both my current and previous roles will prove invaluable in terms of the skills and knowledge gained in a number of compliance monitoring processes and a 'best in class' Audit process, which I feel I can utilise in any future position.*

*Additionally, in my current role I have on-going relationships with the Regulators (FSA, BaFin) and External Auditors as well as having to maintain a high level of regulatory knowledge to advise the Business Audit teams on what areas to review from a Compliance perspective.*

### EDUCATION:

University of England, 2001

**BSc. Economics, 2.2**

London High School, 1998

**3 A-Levels** including English (A) Mathematics (A) and History (C)

**10 GCSE's** at grades A-C, including English and Maths

### PROFESSIONAL QUALIFICATIONS

Chartered Institute of Securities and Investments, 2005

Diploma in Investment Compliance

## COMPUTER SKILLS

Advanced user the Microsoft Office suite, in addition to several other bespoke packages (**list them, with level of proficiency**). I have the ability to learn new packages very quickly and with the minimum of fuss.

## LANGUAGES

Fluent in German (written and oral), Spanish (conversational), French (basic).

**[You may wish to include hobbies and interests here]**

## CAREER HISTORY

January 2009 to date

A FINANCIAL SERVICES FIRM, London

ASSISTANT MANAGER

*This is one of the largest independent provider of financial and risk services worldwide. Services provided include retirement fund administration; employee benefit consulting, actuarial and other related services; personal financial planning and direct mass marketing of financial products. Currently operating in 30 countries.*

**[Write a short bio about each company to make life easier for the person reading your CV]**

- Assisting with the completion of the Pensions Review, including data gathering, loss calculation, compliance documentation and redress
- Dealing with customer and agent's queries with regards to compensation, including scheme reinstatements, augmentation and the setting up of compulsory purchase annuities
- Assuring the completion of work compliant with FCA procedures
- Thorough knowledge of software used in Pensions Review

Achievements:

- Led the Employee Compliance change programme following a business reorganisation. Implemented new policies supported by new systems and risk indicators.
- Convened networks of local compliance officers to design, harmonise and simplify disparate pre-clearance processes, maximising efficiency
- Introduced new risk controls on FCA Approved Persons and delivered an accelerated turnaround on employee vetting to mitigate business impact.

**Reason for leaving:-** There is no longer room for me to progress in my current firm

**[IMPORTANT: Include a reason for leaving EACH role]**

November 2008 to January 2009

*Seeking a new opportunity, following redundancy from A Insurance Company.*

**[IMPORTANT: Ensure ALL gaps are accounted for]**

**October 2003 to November 2008**

**A INSURANCE COMPANY, Croydon  
INVESTMENT ADMINISTRATOR**

*A Insurance Company is the leading US-based international insurance and financial services organisation and the largest underwriter of commercial and industrial insurance in the United States. The global businesses also include Financial Services and Asset Management.*

- Checking customer investment bond contracts are correctly documented and compliant, verifying withdrawals, balance transfers and other transactions
- The issuing and completion of Chargeable Events Certificates
- Dealing with customer enquiries by telephone and assisting with new business administration

Achievements:

- Achievement
- Achievement

**Reason for leaving:-** Redundancy following an internal restructuring.

**February 2002 to October 2003**

**INTER-RUPTION SOLUTIONS, KINGSTON  
TELEMARKETING REPRESENTATIVE**

- Contacting existing customers on behalf of my client, discussing the possibility of converting their existing deal
- Assisting with potential queries in a busy call centre, maintaining customer focus
- Aiming to make sales targets and maintaining a high conversation rate

**Reason for leaving:-** Career opportunity

**August 2001 to February 2002**

**MARKS & SPENCER, Croydon  
SALES ASSISTANT**

**[IMPORTANT: Include ALL Experience to provide a complete picture, even if it is irrelevant to the role you are applying for. It is not necessary to provide extensive details for irrelevant roles, however]**