JULIAN MERCER

COMPLIANCE MANAGER

San Francisco, CA | (415) 555-0148 | julian.mercer@email.com | linkedin.com/in/julianmercer

PROFESSIONAL SUMMARY

Compliance Manager with 12+ years building and testing compliance programs across banking and advisory firms. Runs risk assessments, monitoring, and regulatory change reviews, and keeps leadership and examiners informed with clear reporting and timely remediation.

PROFESSIONAL EXPERIENCE

Compliance Manager Mar 2023 - Present
Capital One, McLean, VA

- Lead a team of four analysts running the annual compliance risk assessment across 18 business processes, with every high-risk area reviewed twice a year.
- Rebuilt the monitoring calendar around risk ratings, which cut routine testing hours by roughly a quarter without lowering coverage.
- Briefed senior leaders each quarter on open findings and trends, helping close 90% of issues before their target dates.

Senior Compliance Consultant Feb 2020 - Feb 2023
PwC, Washington, DC

- Assessed compliance programs for six financial services clients, mapping controls to regulatory requirements and rating the gaps found.
- Wrote remediation plans with owners and dates that clients used to resolve most findings within two quarters.
- Coached two junior consultants on workpaper standards, reducing review comments on their deliverables over the year.

Compliance Officer Jun 2018 - Jan 2020
Bank of America, Charlotte, NC

- Reviewed new product proposals for consumer lending and flagged disclosure issues before launch on nine occasions.
- Ran quarterly compliance training sessions for 120 branch and call center staff, lifting average assessment scores by eight points.
- Tracked regulatory changes and summarised the business impact for line managers within a week of each publication.

Compliance Analyst Jul 2016 - May 2018
KPMG, Charlotte, NC

- Tested controls for anti-money laundering and consumer protection programs across four client engagements, documenting exceptions clearly.
- Wrote a reusable workpaper guide that new associates used to speed up reviews.
- Prepared workpapers and client reports that passed manager review with few edits and supported on-time delivery.

Compliance Associate Aug 2014 - Jun 2016
Wells Fargo Advisors, St. Louis, MO

- Reviewed advisor correspondence and trade activity sample sets each month, escalating about 30 items a year for follow-up.
- Maintained the complaint log and supported responses to regulator inquiries, meeting every deadline in the period.

CORE SKILLS

Compliance programs | Risk assessment | Compliance monitoring | Regulatory change management | Policy development | Internal controls | Issue management | Regulatory exams | AML and KYC | Consumer protection | Compliance training | Audit coordination | Board and committee reporting | Excel | Archer GRC

EDUCATION

B.S. in Business Administration, Virginia Tech, Blacksburg, VA

CERTIFICATIONS

Certified Regulatory Compliance Manager (CRCM) | Certified Compliance and Ethics Professional (CCEP) | Certified Anti-Money Laundering Specialist (CAMS)