

MARIA WRIGHT

Compliance Analyst/CAMS

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SUMMARY

Detail-oriented Compliance Professional (CAMS) with 18+ years of experience managing regulatory compliance, including SEC and FINRA registrations and filings. Expertise in AML/KYC due diligence, OFAC screening, and utilizing systems like Actimize, WorldCheck, and Global Relay. Proven ability to conduct surveillance reviews, investigate alerts, and support audits. Eager to leverage a strong understanding of regulatory requirements to contribute to your organization's compliance initiatives.

WORK EXPERIENCE

Compliance Professional (CAMS), VECTORGLOBAL WMG, Miami

01/2017 – Present

- Orchestrated regulatory compliance processes, including registrations with SEC, FINRA, and state regulators.
- Compiled and submitted Form ADV, U4, and U5 filings, ensuring adherence to regulatory accuracy.
- Executed Anti-Money Laundering (AML) due diligence procedures, encompassing 314(a), 314(b), and OFAC screening.
- Monitored updates from SEC and FINRA regulatory bodies and integrated necessary changes.
- Supervised Continuing Education compliance across Firm Element, AML, and Regulatory Element requirements.
- Performed email surveillance reviews utilizing the Global Relay platform.
- Investigated alerts generated by Actimize and WorldCheck systems.
- Facilitated internal and external audits by meticulously compiling required documentation.
- Assisted in the onboarding process and the implementation of the Code of Ethics.

Administrative Assistant / Premises Clerk, BNP PARIBAS WEALTH MANAGEMENT, Miami

02/2007 – 03/2015

- Provided comprehensive administrative and operational support within a private banking setting.

SKILLS

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|-------------------------------------|---------------------------------|
| • Regulatory Compliance | • FINRA & SEC Filings |
| • AML / KYC / OFAC | • Form ADV, U4, U5 Processing |
| • Audit Support | • Actimize |
| • WorldCheck | • Continuing Education Tracking |
| • Email Surveillance (Global Relay) | • NetX360 (Pershing) |
| • Process Improvement | • Cross-functional Coordination |

EDUCATION

National University of Engineering (UNI)

CERTIFICATES

- Series 99

Nicaragua

Engineering Coursework (Completed 2 Years)

- SIE
- CAMS
- Microsoft Office Specialist