



The Resume Sage - Sample Resume #2

As former executive recruiters we understand the difference between a great resume and one that ends up in the “Rejection Pile.” Call David Pinkley, Founder of The Résumé Sage to learn how you can leverage our expertise to optimize your career story – both in your resume and in your job interviews.

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WACHOVIA SECURITIES, Charlotte, NC, 2004-present

Vice President, Principal Investing, 2008-present

- Senior Compliance Officer for Wachovia Capital Partners, which engages in Merchant Banking activities for Wachovia and third parties. Provide Compliance oversight for all traditional equities and complex equity investing transactions throughout the corporation.
- Led a six month project to consolidate governance of the principal investing activities across 18 business units. Managed a team, consisting of senior executives from the Operating Units, Compliance and Legal departments. This project led to the establishment of the Principal Investing Oversight and Valuation Oversight committees.

Vice President, Corporate and Investment Banking, 2004-present

- Senior Compliance Officer for the Real Estate (“RE”) Division, whose activities include: commercial RE loan origination, tax credit and community development investments, RE Investment Banking activities, CMBS securitization and loan servicing functions.
- Helped integrate the RE Capital Markets, RE Investment Banking and the RE Financial Services groups in 2007.
- Senior Compliance Officer for Structured Credit Products (e.g. CMBS, CDO, CLO, CDS) as well as the Structured Products Sales, Trading and Syndicate teams.
- Overhauled and redesigned the anti-money laundering programs for the Structured Products and Real Estate divisions to comply with the USA PATRIOT Act.
- Designed two web-based programs to automate manual activities which were necessary to comply with the USA PATRIOT Act and the Interagency Statement on Complex Financial Transactions.
- Responsible for interpreting and integrating new regulations, including: Interagency Statement on Complex Financial Transactions, Reg AB and Securities Offering Reform.
- Strong working knowledge of Federal Banking and Securities regulations.
- Regularly advise newly formed Compliance teams in London, Hong Kong and Tokyo on regulatory and legal issues related to complex structured products.

GOLDMAN SACHS, New York and Singapore, 1997-2004

Vice President, Private Wealth Management (“PWM”), New York, 2003-2004

- Responsible for determining product suitability for high net worth clients who seek to invest in equity-linked products, fixed income structures and private placements.
- Established a Product Suitability Committee whose mission was to approve new financial products and determine if they could be appropriately sold to clients.

Executive Director, Head of PWM Compliance, Singapore, 2001-2003

Transferred to Singapore to assume this newly created role, in an effort to raise the visibility and performance of the compliance team in the Asia-Pacific region. Responsible for overseeing all PWM compliance functions in Singapore, Hong Kong and Tokyo. Supervised a team of seven.

- Accompanied sales professionals to meetings with existing clients and new prospects to discuss portfolio performance and back-office account operations.
- Transformed the PWM compliance team in Asia by changing the mindset from being reactive and procedural to being proactive and pragmatic. Reshaped views on issues such as anti-money laundering policy and the increased scrutiny of offshore accounts. This effort to change the compliance culture led to the team’s increased confidence and visibility throughout the business.
- Trained compliance managers to conduct more effective trade surveillance by broadening their involvement with the sales force and coaching them to understand the risk profile of each client.
- Worked closely with the Regional Sales Manager and the head of Investment Management to create a PWM Market Desk. This Desk liaised between Sales and the Product Structuring teams (equity and fixed income) and provided the marketing of hybrid and derivative products (e.g. accrual-range notes, convertible asset swaps and credit derivatives).
- Served as Chairman of the Product Suitability Committee.

Vice President, Regional Compliance Manager, PWM, New York, 1997-2000

Served as the primary liaison for the domestic PWM business. Led a team of five experienced compliance professionals.

- Earned a reputation as the “go-to” person for resolving trading issues under intense trading deadlines.
- Led the PWM Committee, comprised of cross-functional PWM managers and investment professionals. Established a consistent standard for managing account turnover. These guidelines were subsequently adopted internationally.

MORGAN STANLEY, Account Executive/Broker, New York, 1996-1997

- Responsible for generating new client relationships and advising on financial investments.
- Generated new accounts worth \$6 million of AUM in 18 months.

GOLDMAN SACHS, Vice President, Internal Audit, New York, 1991-1995

- Performed reviews of foreign exchange trading operations and metals trading.

PRICEWATERHOUSE, Senior Auditor, Financial Services Group, New York, 1989-1991

- Performed audits of global manufacturing, consumer products and financial services institutions.

EDUCATION AND LICENSE

1989 Duke University, Durham, North Carolina
Bachelor of Science in Business Administration

1989 Passed Certified Public Accountancy (CPA) Exam in North Carolina

