Li Zhang

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## Compliance Expert

Financial Industry Leader with 16+ years’ in capital markets compliance; acquired regulatory experience in multiple jurisdictions. Strengths include building relationships with business partners, ability to work independently to drive complex projects forward and as a part of a management team achieving strategic objectives. Track record of improved productivity and efficiency by continually enhancing processes. Areas of expertise include:

* Expert knowledge of capital markets regulation (IIROC, OSC, FINRA and SEC)
* Developing compliance programs
* Mitigating regulatory, operational and reputational risk
* Project Mangement

Professional Experience

COMPANY NAME xxxx – xxxx

Overview of Company size and scope

Senior Manager, Compliance

Led the Canadian control room compliance program; managed a team of eight compliance professionals providing advisory support and conducting monitoring functions according to internal and regulatory policies for a wholesale banking business of 5000 + employees.

* Developed and oversaw a compliance program to detect and mitigate regulatory violations and breaches of internal policies and procedures for:
* Core Compliance including employee trading and conflicts
* Control Room including grey, restricted and watch lists
* Research, communications and sales literature
* Office of Supervisory Jurisdiction
* Corporate compliance initiatives (ex. Canada Anti-Spam Law, Privacy, etc.)
* Introduced customer service level standards which enhanced the compliance brand by increasing employee accountability and transparency to the business.
* Combined public and private control rooms by initiating collaborative discussions between private and public business heads to create processes and technology, enabling accurate and timely advice of restrictions for research, trading and sales business lines.
* Strengthened safeguarding measures, produced effective monitoring results and reduced department workload by creating specific MNPI lists for product types, coupled with targeted monitoring of high-risk trading and communications.
* In response to department audit findings, initiated a compliance program that raised supervisory accountabilities to a level consistent with FINRA and NY office standards.

COMPANY NAME xxxx – xxxx

Overview of Company size and scope

Senior Compliance Officer

Enhanced compliance monitoring and surveillance programs by creating technology solutions as well as supporting the business in compliance advisory and training requirements.

* Built a revised core compliance monitoring program which included creating an electronic solution for employee attestations to internal policies
* Improved manual review processes by designing databases to gather information and to help determine potential patterns in trading or misconduct
* Initiated training sessions that proactively addressed frequently asked questions and clarified accountabilities in a changing regulatory environment
* Contributed to department bench strength by earning reputation of subject matter expert for internal policies guidance and advice on regulatory issues

Education & Professional Development

Name of Degree, University Name, City, Province xxxx

Certificate in Regulatory Compliance xxxx

Certified Anti-Money Laundering Specialist Examination xxxx

Traders Training Course, The Canadian Securities Institute xxxx

Partners, Directors and Officers Course, The Canadian Securities Institute xxxx

FINRA General Securities Principal Qualification Examination, Series 24 xxxx

FINRA General Securities Representative Qualification Examination, Series 38 xxxx

Options Licensing Course, The Canadian Securities Institute xxxx

Canadian Derivatives Fundamentals, The Canadian Securities Institute xxxx

Volunteer & Community Services

Member, IIROC and SIFMA Compliance and Legal Section

Member, Various Ad Hoc IIROC Rule Book Rewrite Committees

Participant, Industry Control Room Roundtable Discussions

Baseball Coach, ABC Recreation Centre

Interests

Travelling, golf, reading