

KIMBERLY STANWICK

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SENIOR COMPLIANCE OFFICER

TARGETED EMPLOYERS INCLUDE: INVESTMENT ADVISOR • BROKER DEALER • BANKING

A solutions-focused Compliance Officer with seven years of experience overseeing the daily compliance functions pertaining to SEC regulations and standards. Solid knowledge of the Investment Advisors Act of 1940 and Investment Company Act of 1940. Recognized for being both reactive to developments in the regulatory and governance environment and proactive in areas related to compliance education and training. Highly adept in identifying gaps and/or risk exposure in operations as well as developing and implementing strong systems of checks-and-balances.

AREAS OF EXPERTISE

- Risk Assessment / Risk Management
- Regulatory Compliance / SEC Filings / Audits
- GIPS Standards
- Equity / Fixed Income / Balanced Portfolios / Pension and Profit Sharing / Investment Management / Endowment Funds / Mutual Funds

PROFESSIONAL EXPERIENCE

Bennett, Stone and Associates – San Diego, CA

2002–2009

CHIEF COMPLIANCE OFFICER (2009)

COMPLIANCE OFFICER (2002-2009)

Maintained and reviewed policies, procedures, and practices to ensure compliance with all laws and regulations for a firm that specialized in the management of investment portfolios for corporate pension plans, states and municipalities, foundations, endowment funds, and individuals. Assets included equity, fixed income, and balanced portfolios.

- Collaborated with the Chief Compliance Officer in the design, implementation, and management in all areas of compliance, including firm policies and compliance with all federal and state regulations.
- Implemented an effective compliance testing regimen ensuring SEC compliance and assisted in oversight of fund portfolios and ensured compliance with various regulations (e.g. Investment Advisers Act of 1940, among others) which resulted in mitigating any regulatory risks and building client confidence in the firm and its products.
- Reviewed and approved financial and non-financial disclosures to ensure compliance with federal securities regulations (i.e. final marketing materials, request for proposals, client communications, client questionnaires, and SEC filings, such as Prospectus/SAI).
- Completed annual Compliance Due Diligence and 15c-1 renewal questionnaires.
- Led in-house compliance education efforts across the organization minimizing risk exposure.
- Actively participated in conferences and other educational opportunities in order to stay abreast of changes in regulatory requirements.

DIRECTOR OF OPERATIONS (2005 – 2009)

Reported directly to the Chief Executive Office and responsible for leadership and management of all administrative and operational functions. Motivated, coached, and inspired 5 department heads to consistently deliver excellence ensuring the integrity of client data, client communications, and reporting.

- Provided oversight to system conversion of trade accounting data, which resulted in the enhanced ability to utilize data for the purpose of client reporting and performance measurement.
- Increased efficiency in trading and portfolio administration and accuracy in the reconciliation process through implementation of user-friendly custodian and broker web interfaces.
- Reduced error rate in account administration, which in turn reduced trade errors and performance measurement errors through implementation of the new custodian and broker web interfaces.

PROFESSIONAL EXPERIENCE - CONTINUED

- Formed and chaired the first GIPS Compliance Committee which drastically reduced the number of performance errors and eliminated the occurrences of restatements.
- Implemented the rollout of enhanced graphical client reporting tools which replaced previous reports generated in an ASCII format.
- Served as primary point of contact for various vendors, i.e. Portfolio Accounting System (Checkfree APL), proxy vendor, etc.

Genworth Financial Asset Management (Formerly Centurion Capital Mgmt) – Los Angeles, CA 1998–2001
PORTFOLIO CONSULTANT

Provided analysis and guidance to businesses and individuals to help them with their investment decisions.

- Successfully managed investments valued at \$100 million for both retail and institutional clients.
- Consistently led the department in client retentions through consistent delivery of appropriate investments compatible with the client's goals, attitude toward risk, and expectation or need for a return on the investment.

Williams-Michael Financial Services – Northridge, CA 1997–1998
FINANCIAL CONSULTANT

Provided retail bank clients with comprehensive financial planning and advice to help them effectively meet their investment goals.

Great Western Bank – San Diego, CA 1991–1996
BRANCH SUPERVISOR

Supervised 15+ full- and part-time branch associates consisting of teller and new account representatives.

- Conducted one on one operations training of new associates.
- Coordinated the delivery of ongoing staff training in fraud and loss prevention strategies, anti-money laundering procedures (AML), new products and services, system conversions and releases, and changes to regulatory and compliance requirements.

CREDENTIALS AND LICENSES

FINRA Series 7 & 63 – Lapsed
California Life Agent - Lapsed

AFFILIATIONS

National Society of Compliance Professionals – Active Member

EDUCATION

Bachelor of Arts – Psychology
California State University, 1995