

# SAM GOLDEN

AN EXPERIENCED, ACCOMPLISHED RISK AND COMPLIANCE PROFESSIONAL

Greater Los Angeles Area, California | (411) 404-8568

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## EXECUTIVE SUMMARY

An experienced, driven, and accomplished **Risk and Compliance Professional**, with a wealth of experience while working for leading, high-profile companies.

## SUMMARY OF QUALIFICATIONS

- Strong background in many areas including risk and compliance, stakeholder relationship management, client business relationship support, compliance controls development and deployment, investigative work, due diligence, report preparation, presentation development, regulatory compliance, and client relations.
- Hard-working and driven, while highly-experienced in all aspects of risk and compliance work, has worked on many important initiatives, and is proven in meeting all organizational and project expectations.
- Adept in establishing and cultivating successful, long-term client and industry relationships, and is firmly committed to the timely provision of the highest levels of risk and compliance support.

## CORE COMPETENCIES

- Risk and Compliance
- Stakeholder Relations
- Risk Management
- Investigations
- Proposal Writing
- Client Relationships
- Due Diligence Execution
- Management Reporting
- Detail-Oriented
- Regulatory Adherence
- Risk Identification
- Customer Relations

## PROFESSIONAL EXPERIENCE

CITI, Beverly Hills and Los Angeles and San Francisco, California and Atlanta, Georgia

*Business Risk and Compliance Assistant Vice President (2018-Present)*

Responsible for assisting with day-to-day risk and compliance activities, providing client business relationship support, compliance oversight, implementing controls, working with private bankers in completing periodic reviews for existing client relationships, ensuring that client financials and critical information remains current, updating client data (per new regulatory requirements), generating reports for multiple banker teams, working with technology to define system limitations and enhancements, and handling a wide variety of special projects.

### Selected Accomplishments and Initiatives:

- Provides the highest levels of risk and compliance support, and has met all performance expectations.
- Has designed and implemented new workflows, with client reviews going from 40% overdue to zero in a six month period, resulting in fewer escalations to the Head of Business Risk and Compliance, as well as consistent avoidance of fines and other penalties.
- Part of Law Firm Group of the Northern California division at Citi Private Bank, one of the company's premier teams, which has contributed \$900 million in CNR (accounting for up to 40% of regional revenue).
- Has conducted as many as 500 periodic evaluations for clients and private bank, and performs in-depth research of over 800 individuals and entities annually (ensures due diligence via Factiva system).
- Creates and develops training materials for new employees, ensuring a thorough understanding of organizational processes and workflows.

BANK OF AMERICA, Burlingame, California

*Relationship Manager* (2017-2018)

Responsible for customer relationship management, assisting customers within opening and managing their accounts, sales-lead generation, referring clients to financial specialists, dealing with and resolving escalated client and account issues, regulatory compliance, customer relations, and other relationship management functions.

- Worked with a diverse clientele, and attained high levels of client satisfaction, loyalty, and retention.
- Consulted with customers regarding their goals, and paired them with products which met their needs.
- Consistently maximized revenue during tenure in position.

#### **EDUCATION**

THE OPEN UNIVERSITY, Amman, Jordan

School of Business (2008-2013)

#### **PROFESSIONAL CERTIFICATIONS**

- Series 7 License
- Passed SIE Exam
- NFA Swaps Proficiency Exam

#### **TECHNICAL PROFICIENCY**

- Word, Excel, PowerPoint, Lexis/Nexis, and other systems and platforms.

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