

SAMPLE ALUMNI COMPLIANCE RESUME

Address | Phone Number | Email Address

SUMMARY OF QUALIFICATIONS

Attorney transitioning into AML Compliance and interested in utilizing legal background to assist banks in regulating fraud. Knowledge of the laws applicable to money laundering, including the USA PATRIOT Act and the Bank Secrecy Act. Self-motivated team player with the ability to work independently. Proficient in Microsoft Office – Outlook, Word, Excel, and PowerPoint. Strong writing, analytical, and communication skills. Ability to multi-task and complete projects on time. Results oriented with strong organizational skills.

EXPERIENCE

JOHN SMITH, ESQ., New York, New York

Per Diem Attorney

February 2023 – Present

Represent clients in removal proceedings at preliminary hearings in immigration court. Review files to ensure accuracy of allegations and charges. Attend asylum interviews in front of USCIS. Interview clients, determine legal needs, and explain court proceedings.

YOUNG & ASSOCIATES, LLC, New York, New York

Associate

November 2021 – October 2022

Managed large caseload of clients seeking relief from removal and adjustment of status under the U.S. Immigration and Nationality Act. Analyzed applicable U.S. and foreign statutes and regulations relating to aliens seeking asylum in the United States. Performed research on country conditions via LexisNexis, Google, and other relevant search platforms. Investigated such issues as whether actions by a potential asylum applicant constituted material support to a terrorist organization.

MARCCUS PARTNERS, Paris, France

Intern for Mergers & Acquisitions Practice Group

September 2021 – October 2021

Collaborated with team of attorneys and interns to develop *Report on the Takeover Bids Directive*, an external study prepared for the European Commission. Analyzed and compared European Union financial regulations governing both domestic and cross-border transactions in connection with acquisitions, divestitures and mergers against those of non-member countries, including the United States. Drafted sections of the report concerning takeover defenses in both EU member states and non-member countries, including sections on Board of Director neutrality, pre- and post-bid takeover defenses in the United States, and the enhanced standard of review used in the United States when evaluating Board of Director actions during hostile takeovers. Collected data from EU member states and non-member countries and synthesized results into final report.

HONORABLE RICHARD LEE PRICE, Bronx, New York

Judicial Extern in Criminal Court

January 2020 – April 2020

Performed legal research on evidence suppression issues. Drafted opinions in response to post-sentence pro se motions in criminal cases concerning resentencing under New York's Drug Law Reform Act and whether a defendant was entitled to concurrent rather than consecutive sentences. Observed trials in criminal court.

EDUCATION

NEW YORK LAW SCHOOL, New York, New York

Juris Doctor, May 2024

GPA: 3.32 (Top 29%)

Honors: Dean's List: Fall 2009, Spring 2010; Fall 2010 (High Honors)

Courses: Corporations | Securities Regulation | Criminal Law | Federal Income Taxation

MICHIGAN STATE UNIVERSITY, East Lansing, Michigan

Bachelor of Arts, Sociology, August 2021

ADDITIONAL AML COMPLIANCE TRAINING

AML – Compliance: Suspicious Activity Surveillance; FINRA E-Learning Courses (Part I & Part II)

AML – Customer Identifying Procedures; FINRA E-Learning Courses (Institutional/Operations/Retail)

AML – Recognizing Red Flags; FINRA E-Learning Courses (Institutional/Operations/Retail)

AML – Understanding Compliance Obligations; FINRA E-Learning Courses (Institutional/Operations/Retail)

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LEGAL EXPERIENCE

Associate, Cohen & Zucker, LLP

New York, NY (December 2011 – Present)

- Interpret financial and consumer laws and regulations.
- Draft legal and business documents for class action plaintiffs.
- Negotiate procedural issues, including calendaring, discovery production and confidentiality agreements.
- Explain legal issues and lawsuit strategy to clients and other class members.
- Collaborate often with co-counsel and industry experts.
- Analyze corporate transactions and documents such as compliance manuals, financial statements, proxy statements, merger agreements and bylaws.
- Generate new business and meet with current and prospective clients.

Associate, The Law Firm of Joshua Brown

New York, NY (September 2010 – November 2011)

- Drafted research memoranda, motions, mediation statements and appeals for various New York State commercial litigation, personal injury and employment discrimination matters.

FINANCIAL AND REGULATORY EXPERIENCE

Intern, Moore & Gold LLP, Litigation and Financial Services Groups

New York, NY (March 2010 – May 2010)

- Drafted memoranda and sections of an appellate brief focusing on federal securities litigation issues.
- Authored client awareness articles relating to federal and state securities issues.

Student Advocate, Securities Arbitration Clinic, New York Law School

New York, NY (September 2009 – May 2010)

- Assessed inquiries from prospective clients concerning the viability of their broker misconduct claims.
- Drafted Statements of Claim for submission to the Financial Industry Regulatory Authority (FINRA).

Law Clerk, Office of Commissioner Robert McDowell, Federal Communications Commission

Washington, DC (May – August 2009)

- Drafted memoranda regarding broadband metrics, public safety and the National Broadband Plan.

Intern, Public Safety and Homeland Security Bureau, Federal Communications Commission

Washington, DC (May – August 2008)

- Drafted orders, letters and memoranda in connection with 800 MHz frequency band reconfiguration.
- Worked with a multi-disciplinary team including senior-level managers, attorneys and engineers.

EDUCATION

New York Law School, New York, NY, J.D., June 2010

- *New York Law School Law Review*, Senior Editor
- Media/Telecommunications Law Fellow (2008, 2009)
- John Marshall Harlan Scholar, Center on Business Law & Policy affiliate

Brooklyn College, Brooklyn, NY, B.A., Piano Performance, May 2005

BAR ADMISSION

New York and New Jersey

SAMPLE RECENT GRAD COMPLIANCE RESUME

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BAR ADMISSION

Passed July 2014 New York State Bar Exam, Awaiting Admission

EDUCATION

New York Law School, New York, NY

Juris Doctor, *cum laude*, May 2014

GPA: 3.55

Honors: Dean's List (5/6 semesters)

Courses: Compliance within Financial Services Companies | Securities Regulation | Sales & Negotiable Instruments | Financial Law and Regulatory Policy | Secured Transactions | Drafting Corporate Documents

Franklin & Marshall College, Lancaster, PA

Bachelor of Arts, Psychology, High Honors, May 2011

GPA: 3.73

Honors: Dean's List (6/8 semesters) | National Collegiate Honor Society | Psi Chi National Honor Society

Activities: Gamma Phi Beta Sorority, *Scholarship Chairwoman* | Semester Study Abroad, Temple University Rome

EXPERIENCE

Center for Business & Financial Law, New York Law School, New York, NY

Independent Study with Prof. Houman B. Shadab

August 2013 – December 2013

Drafted independent study paper analyzing the role of corporate counsel in creating and maintaining efficient and effective internal compliance programs and audits. Conducted extensive legal research regarding the effect of the Dodd-Frank Whistleblower Program on attorney-client privilege in the corporate environment and the duty to report as it applies to in-house counsel.

Law Office of Jill C. Baker, Esq., Garden City, NY

Legal Intern

August 2013 – December 2013

Conducted legal research involving matrimonial and tax issues with a focus on spousal support, child custody and "best interest of the child" standard. Attended intake interviews involving child clients and divorcing parties, and assessed their maintenance and custody arrangements. Recorded detailed notes on courtroom proceedings and summarized key points for attorneys during settlement conferences.

Hon. David Kaplan, Housing Court Judge, Civil Court of the City of New York, New York, NY

Judicial Intern

June 2012 – August 2012

Drafted trial decision on a traverse hearing. Worked in Resolution Part to evaluate orders to show cause. Reviewed, edited and discussed stipulations with *pro se* tenants. Corresponded directly with the Marshal's office to stop evictions. Observed trial parts and side bar settlements between attorneys.

ADDITIONAL FINANCIAL LAW TRAINING

Research Papers: "*Dodd-Frank's New Whistleblower Provisions*" (Financial Law & Regulatory Policy, Spring 2013)
"*The Role of In-House & Corporate Counsel*" (Independent Study, Fall 2013)

CLE Courses: *Employment Transitions in the Financial Services Industry: Practical & Legal Issues*
New York City Bar Association, Fall 2014

Current Issues Facing Private Equity & Hedge Fund Managers in Today's Changing Landscape
New York City Bar Association, Fall 2014

PROFESSIONAL ASSOCIATIONS & COMMUNITY LEADERSHIP

New York County Lawyers' Assn, Securities & Exchange Committee | New York City Bar Association

Lupus Foundation of America, Young Leadership Board | Young Jewish Professional Association

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BAR ADMISSION

NEW YORK, passed July 2014 bar examination, awaiting admission

EDUCATION

NEW YORK LAW SCHOOL, New York, NY

J.D., *cum laude*, June 2014

GPA: 3.64 Honors: Dean's List-High Honors (3 Semesters) | Dean's List (2 Semesters)

Coursework: Corporate Finance | Private Capital Markets | Securities Regulation
Mutual Fund Regulation | Hedge Fund Regulation | Derivatives Market Regulation
Mergers and Acquisitions | Secured Transactions | Drafting Contracts

UNIVERSITY OF OKLAHOMA, Norman, OK

M.B.A., Business Administration, May 2010 | GPA: 3.73

OKLAHOMA STATE UNIVERSITY, Stillwater, OK

B.B.A., Business Management and Computer Information Systems, May 2008

EXPERIENCE

KERBURN ROSE, New York, NY

Investment Banking Analyst

September 2014 – Present

- Prepare detailed financial models complete with income statement, cash flow statement, balance sheet, working capital, depreciation and debt schedules.
- Value companies using multiples, comparable company analyses and discounted cash flow analyses.
- Build mini and full-scale merger (M&A) and leveraged buyout (LBO) models.

U.S. SECURITIES AND EXCHANGE COMMISSION, New York, NY

Legal Intern - Division of Enforcement, Asset Management Unit

January 2014 – April 2014

- Assisted staff attorney with investigation of investment adviser's potential misstatements to investors, compliance failures, and other violations of the federal securities laws.
- Reviewed email and other documents to gather evidence of such violations.
- Prepared testimony outline and exhibits and identified potential additional witnesses.
- Performed legal research on disgorgement calculations, investment adviser bars, sanctions against auditors, and analyzed comparable cases for administrative remedy determination.
- Drafted speech for Chief of the Asset Management Unit on hedge fund enforcement priorities and industry trends.

BANK OF AMERICA, New York, NY

Fixed Income Legal Intern

May 2013 – August 2013

- Compared commercial paper dealer agreement and offering memorandum to company standard forms, drafted bond option amendment and termination agreements, and determined sufficiency of trade authorization agreements.
- Examined offshore fund solicitation requirements and created chart of approved/prohibited jurisdictions.
- Performed legal research on the JOBS Act and FINRA's front running rule.

NAPOLI BERN RIPKA SHKOLNIK LLP, New York, NY

Securities Arbitration and Litigation Law Clerk

August 2012 – November 2012

- Evaluated discovery production and issued insufficiency notice.
- Performed legal research on clawbacks in Ponzi schemes and tolling the statute of limitations.

SAMPLE HEALTH CARE COMPLIANCE RESUME

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EDUCATION

Loyola University of Chicago School of Law, Chicago, IL

LL.M. in Health Law, May 2014

Courses: Healthcare Compliance | Healthcare Risk Management | Healthcare Payment & Policy
Physician Regulation and Practice Management | Life Science, Research & FDA Regulation
Healthcare Data Security & Privacy | Healthcare Business & Finance

New York Law School, New York, NY

Juris Doctor, June 2013

Papers: *Childhood Obesity: Epidemic Requiring Regulatory Intervention*, Damashek-Pegalis
Writing Contest (2011)

University of Washington, Seattle, WA

Bachelor of General Studies, Pre-law Concentration, June 2009

LEGAL EXPERIENCE

Aaronson Rappaport Feinstein & Deutsch, LLP, New York, NY

Legal Intern

September 2012 to December 2013

Conducted legal research pertaining to defense of medical and legal malpractice claims. Performed verdict valuation analysis. Drafted motions and status memorandum to insurance carriers. Arranged medical experts for record reviews. Observed court appearances and trial proceedings.

The Honorable Joan Lewis, New York County Supreme Court, New York, NY

Judicial Intern

May 2012 to August 2012

Conducted legal research. Prepared draft opinions to motions pertaining to medical, dental, and podiatric malpractice and Article 78 proceedings. Assisted court attorneys with preliminary, compliance, and pre-trial conferences. Observed motion and trial practices.

Unemployment Action Center, New York, NY

Client Advocate/'10 Summer Intern

February 2011 to May 2013

Conducted client interviews, performed legal research, prepared clients for and represented clients at hearings. Provided mentorship for new advocates and assisted with development of case theories. Edited training manual.

HEALTH CARE COMPLIANCE CERTIFICATIONS

Certified in Healthcare Compliance, Compliance Certification Board, May 2014

Certified in Healthcare Research Compliance, Compliance Certification Board, May 2014

Certified in Healthcare Privacy Compliance, Compliance Certification Board, June 2014

PROFESSIONAL AFFILIATIONS

New York City Bar Association, *Medical Malpractice Committee*

New York County Lawyers' Association, *Health Law Section*

New York State Bar Association, *Health Law Section*

American Health Lawyers Association

SAMPLE STUDENT HEALTH CARE COMPLIANCE RESUME

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EDUCATION

New York Law School, New York, NY

Juris Doctor, expected May 2015

Honors: Public Interest Fellow (Summer 2013) | C. Bainbridge Smith Scholarship Recipient

Activities: South Asian Law Students Association, *President* | Student Ambassador & Campus Advocate
Global Human Rights Bulletin, *Middle East Regional Editor*

Stony Brook University, Stony Brook, NY

Master of Arts, Public Policy, May 2012

Bachelor of Arts, Political Science, May 2011

Honors: Dean's List (4 semesters)

Activities: Campaign Intern, *Public Advocate Mark Green* | Diversity Intern, *Office of Student Affairs*

HEALTH LAW EXPERIENCE

North Shore-LIJ CareConnect Insurance Company, Roslyn, NY

Compliance Intern

July 2014 - August 2014

Conducted legal research and drafted memoranda on regulatory and HIPPA compliance. Researched compliance issues for participation in the New York Health Insurance Exchange. Assisted conducting compliance meetings with employees. Served as liaison between in-house and outside counsel.

North Shore Long Island Jewish Health System, Great Neck, NY

Legal Intern

May 2014 - August 2014

Drafted legal documents including position statements filed with the NYSDHR, executive summaries and corporate policies. Reviewed, researched and edited contracts including partnership agreements, business contracts and privacy agreements. Researched and created memoranda and presentations on managed care and labor and employment issues. Represented Health System at hearings before the Environmental Control Board. Assisted in corporate meetings and labor negotiations. Served as liaison between health system employees and general counsel.

Weill Cornell Medical College, New York, NY

Legal Intern

June 2013 - August 2013

Drafted stipulations for orders of dismissal, responses to interrogatories and discovery demands. Reviewed and edited contracts, including IVF consent forms, preceptorship contracts and employment contracts. Observed courtroom proceedings. Conducted legal research and drafted memoranda of law relating to employment and labor law. Conducted policy research for higher education institutions and hospitals.

ADDITIONAL EXPERIENCE

New York Academy of Medicine, Center for Epidemiological Sciences, New York, NY

Field Researcher & Intern

June 2011 – August 2011

Directed team of interns while working independently to obtain health data from residents of Harlem. Identified key populations resistant to flu vaccinations, and organized data into comprehensive reports.

New York Public Interest Research Group, Higher Education Reform, Stony Brook, NY

Project Leader & Intern

February 2011 - June 2011

Lobbied government officials to raise awareness regarding education, environmental protection, homelessness, & consumer protection. Counseled community members on the process of filing a complaint in small claims court.

SAMPLE PRIVACY RESUME

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EDUCATION

New York Law School, New York, NY

Juris Doctor, June 2014

Honors: *New York Law School Law Review*

Activities: Media Entertainment Fashion Law Association, Vice President
Institute for Information Law and Policy, Associate

Courses: Cybercrime/Cyberterrorism | Internet Law | Advertising Law | Videogame Law
International IP | Entertainment Law | Fashion Law | Publishing Law
Copyright | Taxation of Intangibles | Business and Tax Planning for Closed Enterprises

University of Florida, Gainesville, FL

Bachelor of Arts, Economics/Philosophy, May 2011

Thesis: Constructing a Predictive Demand Model for Mass-Produced Media

CERTIFICATIONS

International Association of Privacy Professionals

CIPP/US (Certified Information Privacy Professional in US Law)

Candidate for CIPM (Certified Information Privacy Manager)

EXPERIENCE

Media Coalition/SNR Denton, New York, NY

Coalition Law Clerk

Aug. 2013 – Jan. 2014

Drafted memoranda on First Amendment and privacy issues. Drafted entire amicus brief for a US Supreme Court case regarding surveillance. Wrote 50-state survey of materials found “harmful to minors.” Compiled report on development of § 2257 pornography record-keeping requirements.

Law Office of Alan Johnson, Brooklyn, NY

Legal Intern, Music Law

Aug. 2012 – July 2013

Researched and drafted memoranda on international copyright and termination rights. Prepared outlines for presentations at entertainment law panels. Prepared registrations for US copyrights and international trademarks. Met with clients to discuss selected legal issues.

Elca Solutions, Gainesville, FL

Web Solutions Proposal Writer

Apr. 2010 – Dec. 2010

Drafted software solution proposals for database-driven websites and researched best practices for website design. Reviewed RFPs and online project proposals. Coordinated specs with clients.

PAPERS AND PUBLICATIONS

- *EA v. Textron*: The New Battlefield of Implied Endorsements, Case Comment
- 3 New Ways Google Glass Invades Your Privacy, POLICYMIC
- FISA Supreme Court Decision Makes a Mockery of Civil Liberties, POLICYMIC
- Proposed Cybercrime Reforms in Response to Martyr, ALL YOUR LAW ARE BELONG TO US
- Drones in NYC: Fourth Amendment Incentives for Ethically Automating Law Enforcement
- Privacy Issues in the Telemetric Collection of Videogame Player Psychology