

LEGAL SPECIALIST III - INVESTMENT BANKING SUBPOENA COMPLIANCE

Summary

- Certified paralegal with an extensive legal background, excellent supervisor skills and Investment Banking knowledge, seeking a position within the Financial Industry where my knowledge of legal terminology, banking laws, and regulatory policies and procedures would be fully utilized and expanded.

Highlights

- CORE SKILLS
- Advanced Monitoring
- Regulatory Compliance
- Protection of Customer's Rights
- Risk Management
- High-Risk Investigations
- Quality & Efficiency Assurance
- Investment Banking
- Strategic Thinking
- Policy & Procedure Development
- Regulatory Affairs
- Loss Mitigation
- Complex Administrative Skills
- COMPUTER KNOWLEDGE WordPerfect Microsoft Word Excel PowerPoint Outlook Time Map MA 3000 LawDrill eRoom CourtExpress Courtlinks Lexis-Nexis Westlaw Live Edgar Pacer Summation Concordance Trial Director Shepardize Cite Check Blue Book e-discovery NYSCEF ITC BPAI TTAB Intralinks PAIR Access Equilar Clearwell Stratify. Notary Public
- Advanced Monitoring
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- Loss Mitigation
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Accomplishments

- 2008: Nominated "Paralegal of the Year Award" by the American Association for Justice
- 2003: Awarded Employee of the Month
- 1999: Awarded Miss Congeniality
- 2015: Member of the Rewards & Recognition Committee
- 2010: Member of the National Federation of Paralegal Associations
- 2009: Presentation on Paralegal Trial Procedures and Duties
- 2007: Legal Staff Profile, an article written by Law Crossing
- 2005: Labor & Employment Newsletter: State Minimum Wage Guide
- 2004: Diversity Sensitivity Training to clients including staff and management
- 2003: Article: You're Hired Let's Arbitrate

Experience

Legal Specialist III - Investment Banking Subpoena Compliance

December 2013 to Current Company Name 1/4 City, State

- Create data analytics related to complex compliance financial investigations, experience in banking environment and familiar with various financial products.
- Responsible for complex Investment Bank investigations and analysis to ensure bank-wide compliance with Bank Secrecy Act (BSA), the USA Patriot Act, Office of Foreign Asset Control and other guidance as published by FinCen, FDIC, Federal Trade Commission (FTC) or the US Treasury Department.
- Assessing the risk of customers to the Bank including reviewing for Anti-Money Laundering (AML) and Suspicious Activity Reports (SARs) investigations.
- Communicating effectively, verbally or written, while supporting GIRE, GS&I, AML and other internal and regulatory departments.
- Construct filters and queries to refine e-discovery reviews with attorneys and LDM Department.
- Prepare objections to the subpoenas and negotiate the scope and bread of the request.
- Knowledge of the financial industry and investing banking practices including mergers, acquisitions, capital markets, equity research,

securities clearing and prime brokerage.

Benefit Consultant Agent

April 2013 to November 2013 Company Name 1/4 City , State

- Conduct seminars on Healthcare reform
- Detailed-oriented with excellent research, investigative and reporting skills.
- Extensive knowledge of substantive and procedural aspects of the Insurance industry.
- Provide information on the 12 supplemental insurance products to potential clients
- Research the changing Healthcare laws and Tax Regulations in New Jersey and New York
- Training to sell mutual funds, annuities, securities, retirement plans and insurance products.

Case Supervisor and Project Management Professional

October 2000 to April 2013 Company Name 1/4 City , State

- Responsible for managing 5-15 paralegals on cases, projects, trials and appeal assignments
- Coordinate and delegate assignments and cases to junior paralegals and temporary support staff
- Supervise, hire, train and support paralegals in the firm's New York, New Jersey and Boston offices
- Boost staff morale and improve teamwork by being accessible after hours for problem resolutions
- Redesigned paralegal and staff forms for greater effectiveness with e-discovery tools
- Strong analytical skill and willingness to deal with and solve on-going unique situations Senior Trial Paralegal, Intellectual Property
- Assist NY, NJ, CA and TX offices with trademark infringement and internet counterfeiting matters
- Manage US and foreign patent prosecutions. Handle utility and design patents with 10 or more claims
- Prosecute patents cases with the International Trade Commission and Board of Patent Appeals and Interferences
- Deal with unfair competition, trade secrets, false advertising, patent and copyright infringement issues Senior Trial Paralegal, Labor & Employment
- Assist 5 attorneys in the areas of labor law issues including employment, union, wage & hour, FLSA, and ERISA
- Collaborate with attorneys during Federal and State trials involving ADA, harassment litigations, domestic violence in the workplace, employment agreements, separations, wage and hour issues and ERISA liability
- Provide support with claims of executive compensation, fiduciary, professional liability at the Alternative Dispute Resolution, arbitration, medication, NASD, and EEOC levels
- Draft current editions of sensitivity training guides, employee handbooks, management policies and employment agreements and collective bargaining agreements Trial Paralegal, Corporate
- Basic knowledge in the areas of corporate, securities, venture capital, and private equity transaction
- Analyze proxy statements, officer questionnaires, forms 10-K, 10-Q and 8-K for compliance.
- Involved in officer and director stock transactions, during and after employment.
- Review and analyze SEC, Equity Capital Market (ECM) and acquisitions documents. Paralegal, Litigation
- Assist in trial preparations by creating trial notebooks of plaintiff and defendant witnesses witness outlines, deposition digests, pleadings, motions, orders, and potential trial exhibits
- Digest deposition and hearing transcripts in a computer database
- Identify and accumulate background information on opposing counsel's witnesses and experts
- Create, manage, scan, code and edit index of discovery production including correspondence, pleadings, and bates stamped documents in an electronic computer database. Create discovery and privilege logs.

Assistant Office Manager and Paralegal in the Asbestos, Lead & Insurance

January 1999 to October 2000 Company Name 1/4 City , State New York, New York 01/1999 - 10/2000 Assistant Office Manager and

Paralegal in the Asbestos, Lead & Insurance

Paralegal, Personal Injury

March 1997 to January 1999 Company Name 1/4 City , State

Paralegal

May 1996 to March 1997 Company Name 1/4 City , State Securities

Education

License : Life & Health Insurance , 2012 New Jersey State Life New Jersey State Life & Health Insurance License 2012

Certification : Paralegal Studies Program , 1996 Benjamin N. Cardozo School of Law 1/4 City , State , US

- ABA approved Certification, Paralegal Studies Program, General Practice 1996

Bachelor of Arts : Sociology, Criminal Law , 1995 Fairleigh Dickinson University 1/4 City , State , US

- Fairleigh Dickinson University, Teaneck, New Jersey
- Bachelor of Arts in Sociology, Concentration in Criminal Law 1995

Certifications

Project Management Professional ABA PMP

Affiliations

of the Rewards & Recognition Committee

Additional Information

Manage US and foreign patent prosecutions. Handle utility and design patents with 10 or more claims

Skills

Paralegal, Securities, E-discovery, Training, Ada, Advertising, Cases, Claims, Compensation, Correspondence, Database, Defendant, Deposition, Eeoc, Equal Employment Opportunity Commission, Erisa, Executive Compensation, Flsa, Intellectual Property, Labor Law, Liability, Litigation, Nasd, Patent, Patents, Plaintiff, Project Management, Sec, Trademark, Witness, Asbestos, Office Manager, Aml, Brokerage, Bsa, Business Systems Analysis, Capital Markets, Data Analytics, Fdic, Fixed Income, Investment Banking, Treasury Department, Annuities, Clients, Healthcare, Mutual Funds, Access, Award, Excel, Lexis, Loss Mitigation, Microsoft Word, Mitigation, Outlook, Pmp, Powerpoint, Regulatory Affairs, Regulatory Compliance, Risk Management, Trading, Westlaw, Word, Wordperfect