

FINANCIAL OVERSIGHT | COMPLIANCE | PROJECT MANAGEMENT

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Protecting Financial Institutions

Through Deep Audits & Proactive Compliance Assurance Program Initiatives

- ✓ **Brought international financial institutions into compliance** by creating CRF program from ground up.
- ✓ Aligned business objectives and compliance standards for **multiple acquired organizations during integration.**

AREAS OF EXCELLENCE

- International Regulatory Compliance
- AMF Audits
- Compliance Consulting
- Stakeholder Relations
- Program Leadership
- Anti-Bribery/Sanctions
- Due Diligence/KFY
- M&S Compliance Integration
- Risk Containment

Dedicated, influential executive with reputation for building compliance programs from the ground up on an international scale, minimizing risk, and developing corrective actions to mitigate impact of discrepancies.

Offers 20+ years of ensuring compliance for financial institutions, partnering with executives and stakeholders during investigations and audits to advise regarding best practices and strategies to protect assets and mitigate fines and sanctions.

CAREER HIGHLIGHTS

CPG INC. | *Head of Compliance* | Barcelona | 12/2017 – Present

Brought on by CPG based on expert knowledge of international regulations for recently enacted “common reporting management” (CRM) regulatory requirements. Assessed CPG’s existing program, rearranged the pieces, and transformed it to encompass multiple compliance requirements. Created CRM program from the ground up, training 310+ employees in 4 countries, ensuring compliance and understanding throughout the organization in the European region.

- Liaise with outside legal counsel and serve as point of contact for all routine requests for information related to all compliance issues with regulatory authorities.
- Spearhead due diligence investigations and KFY interviews, employing interpersonal savvy and cultural sensitivity in all dealings with clients.
- Provide guidance to business units and corporate functions, serving as escalation point of contact regarding compliance risks.
- Verify appropriate procedures and processes for every business unit, ensuring compliance with CPG’s Compliance Risk programs.

FINANCIAL CAPITAL GROUP | *Group Compliance Lead* | Barcelona | 2015 – 2016

Took the initiative to research new CRM regulations and develop a comprehensive program addressing training and compliance while overseeing client due diligence and KFY interviews. Managed every facet of regulator relationships and compliance issues with 4 direct reports in Paris, London, Italy, Poland, UK, Germany, and Spain.

- Partnered with legal counsel and executives in support of investigative efforts brought about by local and international financial regulatory authorities involving high-risk clients.

Financial Capital Continued ...

- Advised team regarding financial data management and conservation while protecting financial institution with integrity.
- Brought Financial Capital into compliance, reversing 7+ years of missed file audits within 3 months, potentially avoiding sanctions and fines for violations.

MERCK & CO. | *Director, Compliance* | Barcelona | 2013 – 2015

Joined firm to advise and support owner of investment firm and executive management in support of licensing and compliance set-up requirements. Uncovered potential risks and developed compliance program from the ground up, completed all required audits and paperwork, liaising with regulators to obtain license and establish compliance for institution.

- Cultivated trust and sustained open lines of communication with executives and local regulatory enforcement agents.
- Established and nurtured positive, collaborative relationship with local regulators, ensuring regulatory compliance for portfolio totaling approximately \$35M.

BFCG | *Director, Compliance Consulting-Spain* | Barcelona | 2010 – 2013

Joined U.S.-based agency to advise FCG-based institutions regarding compliance. Doubled number of projects during tenure, igniting growth in previously stagnant organization.

- CHEQ implementation expertise enabled comprehensive presentations and consulting engagements, educating clients regarding compliance issues and risk mitigation techniques.
- Cultivated productive relationships with executives by rolling out training initiatives and 60+ speaking engagements, presenting best practices and case studies to potential clients.

CHARLES SCHWAB GROUP | *Vice President, Compliance Assurance* | Barcelona | 2006 – 2010

Oversaw multiple facets of compliance as Vice President, helping to make sure Barcelona office remained compliant with local regulations by ensuring all employees across Barcelona were complying with established standards and procedures set by U.S.-based headquarters.

- Gained buy-in from senior stakeholders to invest time and money into the compliance program, bringing Barcelona office into alignment with U.S. and European standards.
- Tracked all audit results and presented detailed reports to stakeholders, minimizing AMF and sanction risk through best practices and diligent audits.

EARLY CAREER

ROYAL EUROPEAN FINANCIAL INSTITUTE | *Associate Director, Compliance* | Barcelona, Spain | 2002 – 2006

ROYAL EUROPEAN FINANCIAL INSTITUTE | *Manager, Compliance* | Rome, Italy | 1995 – 2002

EDUCATION & CERTIFICATION

Master of Business Administration | GLOBAL UNIVERSITY | Rome, Italy | 2005

Honors: *Awarded Global Business Scholarship*

Bachelor of Arts (BA), Business/Law | UNIVERSITY LONDON ENGLAND | United Kingdom | 1994

Certified Fraud Examiner (CFE) | ASSOCIATION OF GLOBAL FRAUD INVESTIGATORS

Certified Anti-Money Laundering Audit Specialist | AMLAS