

ND

# Nathan Diaz

Compliance Consultant

## CONTACT



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LinkedIn | Portfolio



City, ST 12345

## KEY SKILLS

- AML/OFAC & KYC
- SOX-404 readiness
- Control testing & remediation
- Policy development
- Compliance training

## EDUCATION

MS Accounting | New York University, New York, NY | May 2012

BS Finance | Fordham University, Bronx, NY | May 2010

## ABOUT ME

Compliance consultant with eight years of experience advising financial-services firms on AML/OFAC and SOX readiness. Delivered 100% audit-pass rates and reduced compliance-finding volumes by 60%.

## PROFESSIONAL EXPERIENCE

**COMPLIANCE CONSULTANT | PROTIVITI, NEW YORK, NY**  
JANUARY 2016 - PRESENT

- Conducted SOX control testing, achieving 100% remediation within 30 days
- Implemented AML transaction-monitoring systems, cutting false positives by 60%
- Trained 300+ employees on compliance policies

**REGULATORY AUDITOR | DELOITTE, NEW YORK, NY**  
JULY 2012 - DECEMBER 2015

- Performed AML and KYC reviews for 4 regional banks, ensuring regulatory adherence
- Developed audit program documentation and checklists
- Liaised with regulators during on-site examinations