

LEAH PUTTY

Chief Compliance Officer

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LINKS

[linkedin.com/in/leahputty](https://www.linkedin.com/in/leahputty)

SKILLS

Compliance

Risk Management

Regulatory Affairs

Corporate Governance

Internal Controls

Auditing

LANGUAGES

English

Indonesian

HOBBIES

Reading

Cooking

Traveling

EMPLOYMENT HISTORY

Chief Compliance Officer at State of Wyoming, WY

Mar 2022 - Present

- Successfully led compliance team of 4 in developing and implementing new compliance program for company of 500 employees.
- Successfully negotiated \$1 million settlement with government regulators.
- Conducted risk assessment of current business practices and developed mitigation plan.
- Implemented training program for all employees on new compliance policies and procedures.
- Created process to investigate potential violations and report findings to senior management.
- Monitors changes in regulations that could impact the company.

Senior Compliance Officer at Department of Revenue, WY

Aug 2019 - Feb 2022

- Led a team of 4 analysts in conducting compliance reviews for high-risk accounts, identifying \$2.5 million in potential financial crimes.
- Chaired the Compliance Committee meeting, developing and implementing new policies to mitigate risks across all business lines.
- Reviewed and approved 1000 customer onboarding KYC files ensuring adherence to AML/KYC regulations.
- Investigated 500 alerts generated from the transaction monitoring system, clearing 99% of them as false positives.
- Trained 50 new employees on anti money laundering (AML) compliance procedures.
- Monitored regulatory changes and updated company policies accordingly within 2 weeks of announcement.

Compliance Officer at Department of Workforce Services, WY

Jul 2012 - Jun 2019

- Led the development and implementation of a new compliance program that resulted in a 20% reduction in regulatory violations.
- Conducted risk assessments that identified potential areas of non-compliance and developed corrective action plans to mitigate risks.
- Trained employees on compliance policies and procedures, reducing the number of employee violations by 30%.
- Monitored changes in regulations and updated company policies accordingly to ensure continued compliance.
- Reviewed marketing materials for accuracy and adherence to state laws prior to distribution. • Investigated complaints of possible non-compliance and took appropriate disciplinary actions when necessary.