Cordelia Ashworth-Nakagawa

Compliance Officer
Des Moines, IA · cordelia.ashworthnakagawa@example.com · (515) 555-0146 · LinkedIn

SUMMARY

Compliance officer with 7 years running compliance programs for insurance and consumer lending businesses of 600 to 1,400 employees. Maintains about 45 policies, leads annual risk assessments and monitoring plans, and has managed 3 state regulatory exams. Known for practical policies, steady training completion and findings closed on schedule.

EXPERIENCE

Compliance Officer — Prairie Hearth Mutual Insurance

Des Moines, IA · Mar 2021 – Present

- Own the compliance program for a 1,400-employee property and casualty insurer licensed in 11 states, reporting quarterly to the audit committee.
- Rewrote 45 compliance policies into a single library with named owners and review dates, bringing overdue policy reviews from 19 to 0 in a year.
- Led the company through 2 state market conduct exams, coordinating about 300 document requests and closing all 7 findings within 6 months.
- Built a risk-based monitoring plan of 24 tests a year across claims, underwriting and marketing, which flagged a late-notice issue affecting 1,100 policies before a regulator did.

Compliance Specialist — Cedar Fork Consumer Finance

Cedar Rapids, IA · Jun 2018 – Feb 2021

- Reviewed about 60 marketing pieces a month for consumer lending rules, cutting average review time from 6 days to 3 with a request form and checklist.
- Ran annual compliance training for 620 staff in an online learning system, reaching 99% completion by the deadline for 2 years.
- Investigated 35 hotline and customer complaints a year, documenting root causes and corrective actions in a case log reviewed by legal.

SKILLS

Regulations: State insurance codes, NAIC model laws, TILA, ECOA, FCRA, UDAAP, GLBA privacy

Program work: Risk assessments, monitoring and testing, policy management, regulatory exams, board reporting

Investigations: Hotline intake, complaint root cause, corrective action plans, case documentation

Tools: Archer GRC, NAVEX hotline, Cornerstone LMS, SharePoint, Microsoft Excel and Power BI

EDUCATION

Bachelor of Business Administration in Finance, Iowa Heartland University, 2018

Certified Compliance and Ethics Professional (CCEP)

Fictional example by FindAJobAI: the person, employers and numbers are invented.