Ethan Brooks

COMPLIANCE ASSOCIATE

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SUMMARY

Compliance Associate with 2 years at an asset manager, handling code of ethics reviews, personal trading pre-clearance and books and records requests for 450 employees. Works in Microsoft Excel and Word daily, handles confidential employee and client data with discretion, and holds the SIE.

SKILLS

Code of Ethics • Personal Trading Reviews • Books and Records • Microsoft Excel • Microsoft Word PowerPoint • Microsoft Office Suite • Marketing Rule • Discretion • Attention to Detail

EXPERIENCE

Compliance Associate 08/2024 - Present

Hudson Square Asset Management New York, NY

Registered investment adviser managing $14B for institutions and private clients.

- Process **300** personal trading pre-clearance requests a month against restricted lists and blackout periods.
- Collect quarterly holdings reports and code of ethics attestations from 450 employees, reaching full completion.
- Review gifts and entertainment logs each quarter and document 14 exceptions for the compliance officer.
- Maintain books and records in the compliance archive and produce 80 documents for a 2025 SEC request.

Compliance Intern 06/2023 - 08/2023

Battery Park Investment Partners New York, NY

Summer internship with a hedge fund compliance team of 4.

- Compared 200 marketing slides with performance data and disclosure rules before release.
- Updated the vendor due diligence tracker in Microsoft Excel for 60 service providers.
- Drafted a PowerPoint summary of new SEC marketing rule changes for the weekly team meeting.

Student Records Assistant 09/2021 - 05/2023

Fordham University Registrar's Office New York, NY

Part-time campus job during sophomore and junior years.

- Verified 40 student records requests a week under FERPA privacy rules.
- Entered transcript changes in the student system and kept a Microsoft Word log of each update.
- Answered 25 phone and email questions a day about transcripts and enrollment verification.

EDUCATION

Bachelor of Science 05/2024

Fordham University New York, NY

Finance

CERTIFICATES

Securities Industry Essentials (SIE)

FINRA

11/2024