

# CHARLES BLAKE

980-253-0043 | Charlotte, NC 28213 | charles.blake1@gmail.com | linkedin.com/in/charlesblake

## SENIOR COMPLIANCE LEADER

Leadership Development | Organization Transformation | Business Strategy

15+ years of banking and risk-management experience

Forward-thinking senior executive who leverages collaborative approaches to uncover risk-management opportunities, optimize business operations, and strengthen competitive advantages. Leader who perseveres through challenging circumstances to lead staff, exceed performance objectives, and achieve company goals.

*"Charles' leadership skills and regulatory expertise are invaluable. He's very goal-oriented and driven for success."*

-Kelly Xi, VP of Operations, Wells Fargo

### Core Competencies

Regulatory Relations  
Issues & Change Management  
Quality Assurance

Internal Audits  
Learning & Development  
Control Testing

Policy Creation  
Program Implementation  
Customer Service

### PROFESSIONAL EXPERIENCE

#### COMPLIANCE OFFICER

2013–Present

Wells Fargo | Charlotte, NC

Recruited to enhance compliance capabilities for Payments, Virtual Solutions, and Innovation (PVSI). Managed 300 total staff, including 13 direct reports, in auditing, control testing, quality assurance, issues management, and business continuity planning to support business objectives. Provided expertise on banking regulations, enhancing payments, deposits, and claims operations. Assisted PVSI leader with creating and implementing new organization policies. *Signature Achievements:*

- ◆ **Reduced financial losses 37%** within 2 years by collaborating with technology partners redesigning fraud detection applications for credit and debit card operations.
- ◆ **Improved previous audit rating from 82% to 94%** during first year in position.
- ◆ **Maintained 100% compliance** for issues-management program by conducting in-depth business analysis to refine processes and procedures.
- ◆ **Established and implemented Fair Lending and Bank Secrecy Act training programs** impacting 26,000+ team members.
- ◆ **Created new leadership team** responsible for executing PVSI's Strategic Planning program managing nonfinancial risks.

#### COMPLIANCE MANAGER

2008–2013

Bank of America | Charlotte, NC

Led 200 staff, including 16 direct reports, in control testing engagements for Global Corporate and Investment Banking (GCIB). Developed corrective action steps, resolving identified issues and providing implementation and remediation effort consultation. *Signature Achievements:*

- ◆ **Won "2012 Enterprise Risk Champion Award"** for providing teamwork, taking initiative, improving the customer experience, reducing risk, and making GCIB more efficient.

**COMPLIANCE MANAGER, Bank of America** *(continued)*

- ♦ **Completed 16 testing engagements in 6 months** during staff shortage through effective planning and partnerships with impacted business lines.
- ♦ **Held 98% quality assurance rating** while managing regulatory audit obligations, earning praise from Corporate Risk VP for leading staff through challenging situations to exceed departmental goals.
- ♦ **Designed new transaction-based testing random-sampling tool**, implemented enterprise-wide within Corporate Risk organization.

**OPERATIONAL RISK MANAGER**

2000–2008

JP Morgan Chase &amp; Co. | Charlotte, NC

Directed 150 staff including 6 direct reports. Coordinated regulatory exams, internal audits, and issue-management initiatives impacting multiple business lines. Strengthened relationships with regulators while ensuring timely resolution of outstanding audit findings. *Signature Achievements:*

- ♦ **Earned “2005 Top Performer Award”** for strong commitments to innovation, customer service, and risk management for Enterprise Risk operations.
- ♦ **Selected by Regulatory Relations President to create new corporate policy** impacting 600+ team members and established regulatory exam management protocol.
- ♦ **Maintained 100% team-member satisfaction rating** by demonstrating superb leadership skills while fostering collaborative and ethical environment.
- ♦ **Elevated exam reporting accuracy 32%** by partnering with technology teams to create universal application that consolidated regulatory source information and risk management functions.
- ♦ **Increased audit-resolution rating 27%** within 4 months by hiring and developing new leadership team responsible for corrective action plan validations.

**EDUCATION****Master of Business Administration**

University of North Carolina at Chapel Hill | Chapel Hill, NC

**Bachelor of Science in Accounting** | Minor in Economics

Clemson University | Clemson, SC

**CERTIFICATIONS**

Certified Regulatory Compliance Manager (CRCM)

Certified Internal Auditor (CIA)

Project Management Professional (PMP)

Six Sigma Green Belt (CSSGB)

**COMMUNITY INVOLVEMENT**

Charlotte Mecklenburg Black Chamber of Commerce

Boys and Girls Clubs of Greater Charlotte