

# Compliance Audit Cover Letter

427 Rocco FerrySouth Raphaelside, OK 80018-4190

**Dear Spencer Labadie,**

I would like to submit my application for the compliance audit opening. Please accept this letter and the attached resume.

In my previous role, I was responsible for assistance to the Auditor In-Charge during the planning state of the audit by gathering information regarding applicable policies, laws and regulations.

My experience is an excellent fit for the list of requirements in this job:

- Strong leadership and management experience is critical
- Previous experience within financial services and related markets, related regulatory bodies, and current industry events and trends
- Manage a team of 2-6 direct reports, with a team size (inclusive of management) of 8-12 staff overall
- Substantial experience in negotiating and settling liabilities resulting from identification of non-compliance with data usage policies
- Knowledge of data consumer and data vendor firms globally, including (but not limited to) major and niche information vendors, investment banks, online trading platforms, high frequency and proprietary trading firms
- Development and maintenance of good customer relationships
- Firm understanding of information technology, including IT process, IT general controls, COSO and COBIT frameworks
- Thorough, practical knowledge of the audit process including planning, execution, and completion of the audit engagement

**Thank you for considering me to become a member of your team.**

Sincerely,

Dylan Swift