

Marco Marron

BRANCH EXAMINER

CAREER HIGHLIGHTS

INDEPENDENT FINANCIAL GROUP, SAN DIEGO, CA BRANCH INSPECTOR & COMPLIANCE ANALYST

- Conducted firmwide branch inspections, ensuring adherence to FINRA and SEC regulations.
- Played a key role in the restructuring of the audit program, improving risk assessment processes and aligning procedures with regulatory requirements.
- Helped optimize the branch inspection program. Improved efficiency and long-term outcomes.
- Targeted remediation plans to address significant compliance findings. Reduced repetitive audit issues and enhanced regulatory adherence.
- Implemented process improvements to streamline audit operations. Reduced inefficiencies and strengthened risk mitigation strategies.
- Engaged cross-functional collaboration with senior management and compliance teams to drive strategic initiatives.
- Mentored junior auditors, enhanced team capabilities and ensured consistent application of compliance procedures.

GENERAL DYNAMICS NASSCO, SAN DIEGO, CA COMPLIANCE AUDITOR

- Conducted comprehensive internal audits to assess compliance with company policies and regulatory standards.
- Developed and implemented process improvements to strengthen internal controls; reduced audit discrepancies, and enhanced risk mitigation.
- Assisted in audit planning, execution, and reporting to senior leadership, ensuring the timely resolution of compliance issues.
- Analyzed audit findings and collaborated with stakeholders to implement corrective actions, enhancing regulatory adherence.
- Utilized data analytics to identify trends; recommended process enhancements, and supported long-term compliance success.



CREDENTIALS

UNIVERSITY OF CALIFORNIA — SAN DIEGO, CA

Bachelor of Science in
Mathematics & Economics

*Minor: Accounting & Business
Administration*