ASHITA MERYL ELANKO
(540) 209-2284 | elmeryl@gmail.com | Dallas., TX

Experienced compliance professional with expertise in Code of Ethics, marketing review, and regulatory filings. Skilled in streamlining compliance operations and ensuring adherence to SEC, FINRA, and global regulations.

EXPERIENCE

SHEPPARD (DALLAS, TX) 2026 – Present
Compliance Lead

- Support compliance activities for private equity and corporate transactions by monitoring adherence to client legal handbooks, applicable regulations, and established policies and procedures.
- Review transaction materials and supporting documentation for completeness, accuracy, and compliance with client requirements.
- Manage transaction document execution, including signature coordination, required filings, and timely completion of closing deliverables.
- Identify potential compliance issues and coordinate with attorneys and relevant stakeholders to resolve discrepancies and facilitate timely transaction completion.
- Apply knowledge of client policies, regulatory requirements, and transaction processes to support accurate and efficient project execution.
- Provide administrative support to private equity attorneys and clients by maintaining organized closing files, transaction records, and legal documentation.
- Independently manage assigned projects, prioritize competing responsibilities, and consistently meet strict deadlines in a fast-paced legal environment.
- Collaborate effectively with attorneys, clients, and team members to support the successful completion of private equity and corporate transactions.

SANDS CAPITAL MANAGEMENT (ROSSLYN, VA) 2023 – 2025
Compliance Analyst

- Managed the comprehensive execution of the Code of Ethics program for over 200 employees, ensuring alignment with SEC regulatory requirements and firm-wide compliance policies.
- Designed and implemented scalable processes to support operations, enhancing program consistency, auditability, and regulatory preparedness.
- Administered the remediation and restructuring fof Code of Ethics systems and records, reducing data redundancies and improving retrieval efficiency for audits and regulatory reviews.
- Developed and enforced protocols for Code of Ethics disclosures, attestations, and personal trading reviews, significantly improving response times and compliance accuracy.
- Collaborated cross-functionally with Legal, Compliance, and IT to streamline system workflows, resulting in improvement in process efficiency.
- Created documentation and training materials to institutionalize best practices within the Code of Ethics program, driving adoption and increasing transparency across business units.
- Monitored and analyzed personal trading activity to identify and address potential conflicts of interest, ensuring adherence to ethical standards.
- Conducted internal investigations into potential breaches of the Code of Ethics and recommend appropriate remedial or disciplinary actions.
- Contributed to the firm's broader compliance testing initiatives, with a focus on ethics-related controls, reporting protocols, and supervisory mechanisms.

THE CARLYLE GROUP (WASHINGTON, D.C.) 2019 – 2023
Compliance Manager

- Served as the designated marketing subject matter expert, critically reviewing and approving marketing materials supporting global fundraising initiatives, ensuring alignment with regulatory standards and firm policies.
- Delivered expert guidance to business units on the interpretation and application of marketing compliance requirements, enabling the creation of compliant, effective marketing collateral and external communications.
- Maintained comprehensive books and records for all electronic communication review materials, ensuring audit readiness and regulatory adherence.
- Appointed Supervisor for the Office of Supervisory Jurisdiction, providing leadership and oversight for compliance operations within the jurisdiction.
- Directed vendor management activities, including negotiation and oversight of contracts for Broker Dealer service providers, while efficiently coordinating invoice processing and payment approvals.
- Managed regulatory filings with the Canadian securities regulator, ensuring timely and accurate submission to meet mandatory compliance obligations.

Compliance Analyst

- Designed and implemented an automated marketing review workflow system, leveraging technology to streamline and enhance the efficiency of reviewing and approving marketing materials and financial correspondence.
- Successfully executed regulatory filings across multiple jurisdictions in accordance with applicable compliance requirements, ensuring full adherence to evolving regulatory standards.
- Led firm-wide periodic training sessions and coordinated the annual compliance meeting to meet regulatory mandates, while overseeing email review processes to uphold communication standards.

- Developed and enhanced a comprehensive marketing materials overview guide used in training programs to promote consistent application of review standards; authored and maintained updated Standard Operating Procedures (SOPs) to support operational excellence.
- Earned FINRA Series 7 General Securities and Series 24 General Securities Principal licenses, demonstrating in-depth knowledge and qualification in securities regulations and supervisory responsibilities.

GUGGENHEIM INVESTMENTS (ROCKVILLE, MD) 2019 – 2019

Senior Compliance Analyst

- Streamlined the marketing review process to ensure timely and precise analysis, rigorously identifying and verifying statements to maintain strict compliance with regulatory standards.
- Prepared and continuously updated advertising procedures and manuals, fostering adherence to consistent, best-practice methodologies across the organization.
- Spearheaded the development and deployment of the annual compliance questionnaire, targeting SEC and FINRA requirements for over 280 employees; collaborated with select vendors to design comprehensive training programs across 18 critical topic areas, resulting in an approximate 67% reduction in compliance violations.
- Designed and implemented robust policies and procedures to ensure firm-wide operations, products, and services fully comply with legal mandates and promote industry best practices.
- Oversaw firm-wide personal securities transactions, conducting thorough investigations of trades to identify and address exceptions to regulatory and internal trading restrictions.
- Evaluated and integrated risk alerts issued by regulatory bodies into policies and training programs, enhancing ongoing compliance and risk mitigation efforts.
- Proactively monitored regulatory developments and industry best practices, aligning business objectives with evolving compliance requirements to sustain operational integrity and competitive advantage.

Compliance Analyst 2016 – 2019

- Continuously monitored emerging laws and regulatory changes, proactively updating internal procedures to ensure ongoing compliance.
- Provided critical support in responding to regulatory agency inquiries and examinations, facilitating effective communication and timely resolution.
- Developed and maintained comprehensive regulatory checklists, calendars, and detailed reports to support compliance tracking and audit readiness.
- Ensured timely and accurate maintenance of records for all filed marketing materials, guaranteeing adherence to regulatory recordkeeping requirements.

EDUCATION

JAMES MADISON UNIVERSITY 2008 – 2012

Bachelor of Science in Economics and Writing

CERTIFICATIONS AND LICENSES

Regulatory Compliance: SEC/FINRA rules, Code of Ethics oversight, personal trading review, OSJ supervision, U.S. & Canadian regulatory filings, audit preparedness.

Marketing Compliance: Advertising/marketing material review, communications oversight, books & records retention.

Process Optimization: Workflow automation, scalable systems, SOP development, audit trail improvement, data integrity.

Program Management: Cross-functional collaboration (Legal, Compliance, IT), vendor/contract management, training programs, compliance meetings.

Technology & Data: Compliance platforms, records systems, trade tracking, data stewardship, communication monitoring.

Training & Documentation: Training material creation, policy authorship, stakeholder communication, internal guides.

Certifications: FINRA Series 7 – General Securities Representative, FINRA Series 24 – General Securities Principal.

Core Strengths: Detail-oriented, analytical, proactive, collaborative, client-focused.