

JESSICA CLAIRE

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SUMMARY

I am a Regulatory Compliance & AML Analyst with extensive experience, primarily within the Banking and Financial Services industry. I have comprehensive understanding of current AML guidelines & structures like Reg E, OFAC, UDAAP, Patriots Act OFAC, Bank Secrecy Act (BSA). I am self-motivated, conscientious, industrious, imaginative and professional. I am generally comfortable working under huge amount of pressure with minimum to no supervision.

SKILLS

- Supervision and training
- Sound judgment
- Cross-functional team management
- Risk assessments
- Financial analysis and planning
- Trend forecasting
- Customer retention
- Quality Assurance
- Analytical skills
- Compliance review
- Corporate audits

EDUCATION AND TRAINING

02/2015 **MBA: Finance**
UNIVERSITY oF ILORIN, - ILORIN, NIGERIA

EXPERIENCE

10/2007 to 03/2014 **Banking Operations Head**

Guggenheim Partners – Saint Louis, MO

- Managing staff banking operations training on policies, procedures & control at unit/branch level
- Supervising and coordination of unit activities and tellers
- Branch daily Teller activity review (transaction call over) and supervision
- Daily review of General ledger report
- Manage service quality at all service delivery points
- Line managed all tellers
- Daily review of Proofs and reconciliation of ATM & General ledger balances and inter-branch entries on daily basis
- Management of vault and monitoring of all cash limits
- Management of Automated Teller Machines & reconciliation of ATM transactions & resolution of all differences and dispense errors
- Preparation & rendering of Branch/Unit daily, weekly & monthly reports like STRs, Income tax/VATs, and monthly GL proofs/reconciliations

04/2014 to 08/2015 **AML Compliance Analyst**

Union Bank Of Nigeria, Plc – City, STATE

- Conducted Enhanced Due Diligence (EDD) research and Politically Exposed Person (PEP) review as part of new client on-boarding process
- Performed Customer Due Diligence (CDD) utilizing Research Data Center (RDC) in order to identify high risk individuals
- Liaised with Compliance Risk Officers (CROs) as a follow-up Negative news Items screening
- Managed approval process for international wire transfers sent to High Risk Jurisdictions
- Review and recommend updating KYC on suspicious international and domestic banking transactions per Bank Secrecy Act (BSA)
- Track database of Suspicious Activity Alerts as reported by Union bank branches
- File Suspicious Activity Reports (SARs) based on investigation of fraudulent banking activity from structuring, unexplained third part activity, etc.

01/2016 to 05/2018 **AML Compliance Officer - Collections**

Synchrony Bank – City, STATE

- Work with the business to ensure complete understanding of compliance requirements as they relate to business processes within collections
- Ensure that legal and regulatory requirements are disseminated throughout the organization and are executed by the business consistently and correctly
- Drive effective identification and management of compliance risks, provide solutions, and assist resolution
- Ensure significant risks are promptly escalated to the appropriate level
- Help the business embed effective tools, systems and controls for analyzing and monitoring regulatory risks; be an expert on appropriate controls and documentation of compliance management
- Help maintain effective relationships with all functional areas
- Play an active role in Compliance Risk Assessment activities for the Collection Process
- Conduct targeted compliance reviews and continuous monitoring activities
- Ensure cross-functional Compliance calibration; focusing on Critical to Compliance (CTC) monitoring
- Provide compliance support to existing Functional Quality teams and Quality Oversight

06/2018 to Current **AML Compliance Analyst - TRADE SURVEILLANCE**

ETRADE FINANCIAL – City, STATE, Nigeria

- Ensure timely and complete/accurate rendition of regulatory reports including Blue sheets, SIAC, OATS, LOPR and Short Interest
- A key component of my role is to ensure best practices as the operational guideline within the company to ensure compliance with the regulatory bodies in the Financial Services and Banking industries
- Implementation of policies and procedures across both bank and brokerage business lines to help ensure compliance with all relevant regulations
- Conduct in-depth investigations of trade related customer activity specific to identifying market manipulation across equities, options, and futures product offerings
- Ensure that daily operational processing is completed according to established AML program, SLAs and regulatory requirements
- Assist with ongoing AML projects including trade and transaction surveillance module development, testing, documentation, and implementation. Employing risk-based approach
- Review customer activity that may violate anti-money laundering regulations or economic sanctions in countries in which the firm conducts business
- Investigate transactions for deviations from historical patterns and/ or assess the presence or lack thereof of economic, business, or lawful purpose, based on OFAC guideline
- Perform detailed research, analysis and enhanced due diligence of certain customers and/ or activity
- Document findings in comprehensive memos for senior management

ACTIVITIES AND HONORS
