

BSA/AML Compliance BSA/AML Compliance BSA/AML Compliance Assistant - Cy-Fair Federal Credit Union Spring, TX Mortgage Originator Pre Licensed (NMLS ID 1867467), license expected August 2019. Offering 10 years of compliance and administrative experience in various fields including finance, energy and telecommunications. With versatile job roles including regulatory compliance, database administration (SQL database), project management, quality assurance and administrative roles. Experienced at conducting research and analysis to ensure end to end compliance. Work Experience BSA/AML Compliance Cy-Fair Federal Credit Union September 2018 to Present Analyze and research accounts to detect patterns of money laundering, fraud, identity theft and create detailed supporting documentation portfolio according to federal and bank regulations Present AML/BSA case investigation findings and detailed documentation to the SAR Committee, prepare weekly reports to update status of investigations, assist in making recommendations for final disposition and managing end to-end completion of case investigation Assisting in configuration of in-house card fraud process to reduce credit union losses Monitor complex compliance reports from core systems (Verafin and Symitar), review file corruptions, conduct OFAC checks Conduct detailed CDD/EDD research, currently coordinating with Operations and IT department to implement efficient CDD/EDD onboarding process Complete and Submit Suspicious Activity Reports (SARs) and Currency Transaction Reports (CTRs) to FinCEN and responsible for (314) a List uploads and schedule Retain and support compliance and risk management policies and procedures, assist in audit preparation and maintain knowledge of current laws, regulations and common practices in the BSA/AML spectrum Compliance Analyst Citibank November 2016 to November 2017 Performed detailed analysis and research utilizing 15+ internal databases and external resources to detect patterns, trends, anomalous behavior and schemes in transactions and customer relationships Monitor accounts to identify suspicious activities and analyze currency transaction logs Compiled detailed written portfolios of identified suspicious activity and ensure records are documented in compliance with federal regulations and bank guidelines, including a final detailed disposition for further investigative action Assisted in compilation of data and information required for completion of Suspicious Activity Reports (SAR) for

regulatory filing   Maintained current understanding money laundering and terrorist financing issues, including policies procedures, regulations, criminal typologies and developing trends and company guidelines   Compliance Analyst LPL Financial March 2016 to July 2016   Research and investigate Advisor's, compiled information; credit profile, outside business activities, sanctions, branch exams and U4 forms to determine if surveillance or risk review is needed based on FINRA requirements   Correspond with advisors to attain proper documentation regarding credit review and escalation surveillance issues   Synopsise and accurately document Advisor surveillance briefings in internal databases and SharePoint   Monitor testing and inspection of company database to ensure finished product quality   Coordinate internal credit database audit   Compliance Research Analyst and Database Administrator Technologies Management Inc September 2006 to January 2016   Correspond with state and federal agencies on a continual basis to acquire compliance information and determine telecommunication and energy carrier's compliance responsibilities   Research and investigate dockets and documents to interpret complex compliance and reporting responsibilities for telecommunication and energy carriers   Scrutinize and Monitor company database to ensure all elements are accurate for reporting to state and federal agencies   Build algorithms and queries in company database to accurately report company revenue and contents to state and federal agencies.   Design & Maintain document structures (over 600) in accordance with state agency standards   Successfully assist in engineering and developing streamlined department processes to satisfy complex compliance needs for over 90 unique clients.   Research and implement confidential and trade secret filing requirements for federal and state compliance reports   Education Bachelor's Degree in Business Management in Business Management Penn Foster College - Foster, PA 2022 Diploma St. Petersburg High School - Saint Petersburg, FL 1999 to 2001

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