

# Conor Bailey

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## PROFESSIONAL EXPERIENCE

Santander UK plc	S2 Financial Crime Control (FCC), MI Developer, Correspondent and Investment Banking Transaction Monitoring	July 2018 – Present
<ul style="list-style-type: none"><li>Assisting with the development and maintenance of the Alert Optimization Tool (AOT) built using SQL Server for the backend and Microsoft Access for the front end. This includes ensuring that any issues / bugs identified by the transaction Monitoring analysts are rectified in a timely manner.</li><li>Development of the full stack web application 'Company Analysis Tool' using Node JS and PostgreSQL. This application is now used by the transaction monitoring analysts to automate the company data gathering process. The web application utilizes the open Corporates and DueDil API's. Puppeteer web scraping technology was also used to gather data from Companies house records.</li><li>Conducting retrospective AML Transaction Monitoring investigations on alerts generated against activity on the banks Vostro / Retail / Corporate client accounts.</li><li>Liaising with Vostro client account managers to request further information on alerted activity where necessary.</li><li>Raising of internal SAR's to the bank's internal SAR unit where suspicious activity has been identified and where the AML / financial crime risk cannot be mitigated.</li><li>Utilizing open source searches as well as internal / external systems (Palantir, Dow Jones, Factiva, Net Reveal, EUC) to build a client profile (nature of business, registration details, source of funds, ownership structure etc.) for all alerted parties in order to make sense of the alerted transactional activity to mitigate financial crime risk.</li><li>Working closely with IT and the Change Management team to make the AML system process more efficient by providing AML detection scenario / threshold recommendations as well as User Acceptance Testing for the Net Reveal TM system.</li><li>Monthly presenting of current financial crime related hot topics, trends and typologies to the AML CIB TM team.</li><li>Collating team MI information using VBA programming to report team alert completion rate-par-day statistics in order to forecast future team performance.</li></ul>		
Sumitomo Mitsui Banking Corporation Europe (SMBCE)	Assistant Vice President - Financial Crime Middle Office	July 2016 – July 2018
<ul style="list-style-type: none"><li>Conducting enhanced AML/sanctions screening of all transactions involving SMBC Dubai including checks on all underlying documentation (invoices, transport documents etc).</li><li>Conducting sanctions, dual use goods AML checks on Trade Finance documentation using Fircosoft, Microsoft Access and the EU dual use goods checker.</li><li>Tracking of all shipping documents (BL's, AWB's, CMR's, Lol's) utilising the carrier websites and Track Trace as well as Lloyds List intelligence to verify vessel movements.</li><li>Working closely with the Forensics Department when any Trade Finance red flags are identified (pre /post dated transport documents, vessel discrepancies etc.)</li><li>Liaising with the International Maritime Bureau (IMB) when transport documents are unable to be tracked inhouse.</li><li>Reviewing live fraud alerts generated in Actimize.</li><li>Reviewing real time system generated hits in the banks sanctions filter (Fircosoft Continuity).</li><li>Managing the timely processing of all incoming and outgoing SWIFT traffic.</li><li>Monitoring intra-day workflows and Sanction queues adhering to key controls.</li><li>Trainer for new and existing department staff on systems, system processes and best practice for application within day to day transaction monitoring and ad-hoc requests.</li><li>Writing sanctions rules within Fircosoft Continuity to discount repetitive False positives.</li><li>Completing monthly management MI reporting.</li><li>Working closely with IT, Compliance and system Vendors to incorporate system and operational process flow</li></ul>		

change management and User Acceptance Testing.

Bank of Tokyo Mitsubishi UFJ (BTMU)	Senior Associate - Compliance Division for EMEA	October 2008 – July 2016
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- Supervisor level sign-off for sanctions and AML investigations, trade finance screening and live and post transaction sanction screening, applying current OFAC, HMT, EU and JFEL regime rules, as well as POCA, JMLSG and internally created procedures and best practice.
- Liaising with all business areas (ACBG, EBD, EIBD, EGMD) regarding any AML/sanctions queries.
- Real time sanctions/AML screening of Swift messages, BACS, SEPA and UK low value domestic transactions using the Logica Hotscan payment filter system.
- Sanctions screening of the entire customer database using Finscan.
- Initiating, advising and completing financial sanctions investigations, including regular use of the EU Tariff system/ goods checker for embargo checks on goods and regular use of Lloyds List Intelligence to investigate Trade Finance related shipping movements against sanction program restrictions.
- Daily use of sanction, financial crime and AML investigation tools, such as Siron (Tonbeller), World Check, sanction regime specific websites, Lloyds List Intelligence and EU TARIC Code site.
- Compiling monthly, quarterly and annual AML and sanctions reports for MLRO and Head Office.
- Presenter at the Biannual Transaction Monitoring effectiveness meeting. Also presented at the European Compliance Department divisional meeting on key Financial Crime issues.
- Assisting the AML and KYC teams with investigations and sanctions issues which arise.
- Liaising and working closely with MLRO, EMEA Compliance officers, Head Office and New York counterparts.
- Advising Far East and Middle East regions on EU, HMT and OFAC regulations in relation to financial sanctions.
- Designed and maintain internal sanctions process guide, which provides live data, processes, procedures, workload/project diaries and other information which is widely used within the bank's financial crime functions.
- Trainer for new and existing EMEA compliance officers on the above listed training information and also on bank specific AML and Financial Sanctions policies and best practice.
- Data analysis to identify gaps in systems and controls, as well as sourcing suitable solutions.

Wachovia Bank, N.A	Compliance Analyst	December 2007 – April 2008 (during holiday periods)
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- Assisting the KYC department with inputting new clients onto the client database system. This also included KYC research for neutral country risk entities.
- Assisting the Compliance Training and Competency team with the upkeep of the registered staff filing and any updates required to the FSA registrations.
- Issuing new clients with terms of business and any other ad hoc/project duties required to be completed by the Compliance department.

#### ACADEMIC BACKGROUND

Udacity Data Analyst Nanodegree	February 2019
Udacity Full Stack Web Developer Nanodegree	August 2019
ICA Certificate in Managing Sanctions Risk (Distinction)	December 2016
ICA Advanced Certificate in AML (Merit)	March 2014

The Billerica School

2001 - 2008

A Level

English Literature

Information Computer Technology

Music Technology

General Studies

8 GCSE's

#### ADDITIONAL INFORMATION

I have a keen interest in software development outside of work mainly focusing on HTML, CSS, JavaScript, Python and VBA

I have used these skills to build a company analysis tool (<https://companyanalysistool.com>) which automates the company information gathering process used for investigations.

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REFERENCES AVAILABLE UPON REQUEST