


OLA M. TUCKER, JD, CAMS


COMPLIANCE NOTES

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PROFILE

I am an experienced compliance professional specializing in anti-financial crimes compliance, including anti-money laundering, anti-corruption, illicit financial flows, international sanctions, and corporate compliance programs.

Throughout my career, I implemented corporate compliance programs at domestic and international institutions, including Fortune 50 companies. I also served as a BSA/AML Compliance Officer.

I currently teach compliance and financial crimes classes at the graduate level. I am also the founder of Compliance Notes, where I provide freelance legal and compliance writing and educational content, as well as compliance training to businesses and individuals in the legal and financial services sectors.

I've written several compliance-focused articles for various publications and spoken at numerous industry conferences and events. I have extensive experience developing and providing compliance training and presentations and I enjoy translating complex legal concepts and technical regulations for a general audience.

KEY SKILLS

- WRITING
- RESEARCH
- TRAINING

AREAS OF EXPERTISE

- CORPORATE COMPLIANCE & ETHICS
- RISK MANAGEMENT
- FINANCIAL CRIMES COMPLIANCE
- ANTI-MONEY LAUNDERING & ANTI-CORRUPTION
- INT'L SANCTIONS LAWS & REGULATIONS

EDUCATION

Syracuse University College of Law
2002 to 2005
Juris Doctorate

Boston University
1996 to 2000
Bachelor of Arts in English
Minor in Biology

CERTIFICATIONS

- Certified Anti-Money Laundering Specialist (CAMS) (2017)
 - Admitted to Pennsylvania Bar (2006)
 - Teaching Certificates in English & Business English (2001)
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EXPERIENCE

Compliance Notes

Newark, DE • Oct. 2019 to Present

Founder / Writer / Instructor / Consultant

- Provide freelance writing services
 - Draft articles, newsletters, blogs, SEO web content, ebooks, curriculum content, educational materials, white papers, etc.
 - Develop training materials & educational content
 - Conduct presentations and webinars
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Widener University Delaware Law School

Wilmington, DE • July 2018 to Present

Adjunct Faculty – Graduate, Int'l, Compliance & Legal Studies

- Design and develop course materials
 - Teach in-person and online classes
 - Serve on Advisory Board for MJ/LLM Global Financial Crimes Program
 - Serve as master's thesis advisor
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Commonwealth Trust Company

Wilmington, DE • June 2016 to Oct. 2019

AML Compliance Officer

- Developed and implemented AML compliance program
 - Designed and delivered training for staff, senior management, and board of directors
 - Drafted policies, procedures, manuals, and newsletters
 - Conducted risk assessments and internal audits
 - Managed staff, including interns
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MetLife

Wilmington, DE • Nov. 2010 to May 2016

Sr Compliance Consultant – Global Anti-Corruption Unit (2012–2016)

- Oversaw global anti-corruption compliance program
- Drafted policies, procedures, manuals, and newsletters
- Developed and conducted compliance training

Sr Compliance Analyst – Global Anti-Corruption Unit (2010–2012)

- Implemented global anti-corruption compliance program
 - Drafted compliance materials
 - Developed and delivered compliance training
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AWARDS

- CALI Award in Jurisprudence of Criminal Justice (2005)

LANGUAGE SKILLS

- Fluent in English
- Conversant in Polish

American Life Insurance Co. (ALICO)

Wilmington, DE • Oct. 2006 to Nov. 2010

Compliance Analyst – International Compliance Department

- Conducted sanctions screening, alert reviews
- Monitored fines and penalties
- Assisted in the enterprise-wide implementation of sanctions screening software
- Drafted, proofread, and edited compliance policies and procedures

PUBLICATIONS

Articles

[U.S. Legislation Targets the Enablers of Money Laundering.](#) *Diplomatic Courier*, 4 Nov. 2021.

[The AMLA Targets Anonymous US Shell Companies, But Can It Halt Illicit Fund Flows Globally?](#) *ACAMS Today*, 28 May 2021.

[Understanding the Risks and Challenges of Shell Companies in Managing AML Compliance.](#) *Journal of Financial Compliance*, vol. 3, no. 4, 2020, pp. 340-358.

[SEC Breaks New Ground with Sanctions, Export Control Penalties in FCPA Action.](#) *Bloomberg Law*, 12 Dec. 2019.

[The Role of the Board of Directors in AML Compliance.](#) *CorporateComplianceInsights.com*, 4 Nov. 2019.

[How Shell Companies Might Be Circumventing FinCEN's Beneficial Ownership Rule.](#) *CorporateComplianceInsights.com*, 5 July 2019.

Blog Posts

["Customer Due Diligence: Meeting Regulatory Expectations,"](#) *Alessa*, 8 Dec. 2020.

["The disappearance of office chit-chat,"](#) *SAI Global*, 26 Sept. 2020.

Book Chapters and Contributions

“Ola Tucker’s Training Tips.” [*Sending the Elevator Back Down: What We’ve Learned from Great Women in Compliance*](#), Lisa Fine and Mary Shirley, CCI Press, 2020, 73-74.

Forthcoming Book

The Flow of Illicit Funds: A Case Study Approach to Anti-Money Laundering Compliance, Georgetown University Press, Forthcoming 2022.

PRESENTATIONS & WEBINARS

“Recent PEP Screening Guidance.” Alessa by Tier1 Financial Solutions, Webinar, September 14, 2021. *Presenter*.

"Anti-corruption and the fight against money laundering and the financing of terrorism (AML/CFT): what are the challenges for European companies?" Faculté de Droit (FLD), Webinar, June 22, 2021. *Speaker*.

“Cybercrime and the Recent Wave of Ransomware Attacks.” UNIVALI & Widener University Delaware Law School, Webinar Lecture Series, June 16, 2021. *Speaker*.

"Best Practices for Conducting Effective Customer Due Diligence." Bermuda Bankers Association, Webinar, March 19, 2021. *Speaker*.

"Understanding the Board of Directors Role in Effective AML Risk Oversight." Lawline, Webcast, November 6, 2020. *Speaker*.

"Law in the Time of COVID-19: Corruption and Money Laundering." UNIVALI & Widener University Delaware Law School, Webinar Lecture Series, May 27, 2020. *Speaker*.

“Mastering the Art of Ethical Office Politics for Stronger Anti-Financial Crime Compliance.” ACAMS 25th Annual International AML & Financial Crime Conference, Hollywood, FL, April 20-22, 2020. *Panel Moderator*.

**Cancelled due to COVID-19.*

“Board of Director Oversight and Responsibilities in Relation to AML Risk.” Clear Law Institute, Webinar, March 24, 2020. *Speaker*.

“Board of Director Oversight of AML Risk.” Society of Corporate Compliance and Ethics (SCCE), Web Conference, January 23, 2020. *Speaker*.

"AML Challenges Amid the Rise of the Shell Company." Compliance Week Annual Conference, Washington, D.C., May 2019. *Panelist*.