


# OLA M. TUCKER, JD

## COMPLIANCE NOTES


### CONTACT

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### PROFILE

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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 numerous articles for various publications. I have also conducted multiple webinars and spoken at several industry conferences and events. My expertise and skills enable me to make complex and technical concepts accessible to a broad audience.

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## KEY SKILLS

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- WRITING
- RESEARCH
- TRAINING

## AREAS OF EXPERTISE

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

## EDUCATION

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Syracuse University College of Law  
2002 to 2005  
Juris Doctorate

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

## CERTIFICATIONS

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

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### 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

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- CALI Award in Jurisprudence of Criminal Justice (2005)

## LANGUAGE SKILLS

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- 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

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### Articles

[Reforming the Defective U.S. Sanctions Regime](#), *Diplomatic Courier*, (January 27, 2022)

[Combatting Exploitative Labour Practices And Other Human Rights Violations Through Supply Chain Transparency](#), *Human Rights Pulse*, (January 27, 2022).

[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

"[Responding to the New Sanctions Against Russia: How Financial Institutions Can Ensure Compliance](#)," *Alessa* by Tier1 Financial Solutions, 3 Mar. 2022.

"[Casino Anti-Money Laundering Obligations](#)," *Alessa* by Tier1 Financial Solutions, 12, Feb. 2021.

"[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.

## Book

[The Flow of Illicit Funds: A Case Study Approach to Anti-Money Laundering Compliance](#), Georgetown University Press, July 2022.

## PRESENTATIONS & WEBINARS

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"Navigating Russian Sanctions: Best Practices in Sanctions Compliance and the Identification of Beneficial Owners." Bermuda Bankers Association, Webinar, May 13, 2022. *Presenter.*

"Recent PEP Screening Guidance." Alesia 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. *Presenter.*

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

"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. *Presenter.*

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

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