


OLA M. TUCKER, JD

—○ WRITER / INSTRUCTOR ○—

CONTACT

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PROFILE

I am an accomplished compliance professional with over 15 years of experience in the financial services industry. I specialize in anti-financial crimes compliance, including anti-money laundering, anti-corruption, illicit financial flows, international sanctions, and corporate compliance programs.

I have extensive experience implementing and overseeing corporate compliance programs and conducting corporate compliance training 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 Widener University Delaware Law School. I am also the founder of Compliance Notes, where I provide freelance writing and compliance training to businesses and individuals in the legal and financial services sectors.

My portfolio includes numerous webinars, presentations, and publications. I enjoy using my expertise and skills to make technical concepts accessible to a broad audience. My first book, titled, “The Flow of Illicit Funds: A Case Study Approach to Anti-Money Laundering Compliance,” is now available from Georgetown University Press.

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

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

[Combatting Exploitative Labor 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

[“What Financial Institutions Need To Know About FinCEN’s Real Estate Geographic Targeting Orders \(GTOs\),”](#) Alessa, November 29, 2022.

[“A Timeline of Key BSA/AML Regulations,”](#) Alessa, September 22, 2022.

[“Frequently Asked Questions \(FAQs\): FinCEN’s Beneficial Ownership Requirements,”](#) Alessa, August 25, 2022.

[“Public-Private Partnerships and AML Compliance,”](#) Alessa, July 27, 2022.

[“Responding to the New Sanctions Against Russia: How Financial Institutions Can Ensure Compliance,”](#) Alessa, March 3, 2022.

[“Casino Anti-Money Laundering Obligations,”](#) Alessa, February 12, 2021.

[“Customer Due Diligence: Meeting Regulatory Expectations,”](#) Alessa, December 8, 2020.

[“The disappearance of office chit-chat,”](#) SAI Global, September 26, 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

“Using CDD to Manage AML Risk and Update on FinCEN GTOs,” ACAMS & ACFE Delaware Chapters, In-Person Presentation, December 1, 2022. *Presenter.*

“Conducting More Effective Customer Due Diligence: Requirements, Best Practices, and Trends.” ACAMS, Delaware Chapter, August 18, 2022. *Presenter.*

"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.” 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. *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.*