

Alex Brown

Banking Compliance Officer

Meticulous banking compliance officer with 7+ years of designing, implementing, and auditing retail and commercial banking compliance programs. Reduced BSA/AML SAR defects by 50%, conducted KYC audits for 200,000+ accounts achieving 99% remediation within 30 days, and led 3 consecutive FDIC and OCC regulatory exams with zero material findings at SecureBank Corp. Expert in BSA/AML program management, KYC/CDD frameworks, regulatory examination readiness, and delivering staff compliance training that measurably improves awareness scores.

CONTACT INFORMATION



(555) 000-0000



email@example.com



City, ST

EDUCATION

Bachelor of Science in Criminal Justice
State University, City, ST, May 2014

KEY SKILLS

- BSA/AML program design and management
- KYC/CDD audit and remediation
- Regulatory examination readiness (FDIC, OCC, CFPB)
- Suspicious activity monitoring and SAR filing
- Policy development and compliance training
- Transaction alert management and investigations
- Regulatory change management and implementation
- Risk-based compliance monitoring frameworks
- Cross-functional audit coordination and reporting

PROFESSIONAL EXPERIENCE

COMPLIANCE OFFICER | SECUREBANK CORP. | CITY, ST SEPTEMBER 2018 – PRESENT

- Developed, maintained, and enhanced a comprehensive BSA/AML compliance program covering SAR filing, CTR processing, and high-risk account monitoring, reducing SAR defect rates by 50% over 2 years
- Conducted quarterly KYC/CDD audits for a customer base of 200,000+ accounts, achieving 99% remediation of identified deficiencies within 30 days across 12 consecutive audit cycles
- Led preparation for 3 consecutive FDIC and OCC regulatory examinations, achieving zero material findings in all exams and receiving written commendation from OCC examiners on program quality
- Managed a team of 3 compliance analysts on daily transaction alert reviews and investigations, closing 95% of cases within SLA and maintaining a case quality score above 94% on quarterly peer reviews
- Implemented a regulatory change management process for 20+ annual BSA and consumer compliance regulatory updates, ensuring policies and procedures were updated and staff trained before effective dates
- Developed and delivered annual compliance training programs for 400+ employees across branch and operations functions, improving post-training assessment scores from 78% to 93% over 2 training cycles

COMPLIANCE ANALYST | FIRST NATIONAL BANK | CITY, ST JUNE 2014 – AUGUST 2018

- Monitored daily transaction alerts for AML, fraud, and high-risk activity, closing 95% of cases within required SLA windows across a portfolio of 500+ monthly alerts
- Updated compliance policy manuals for 8 regulatory domains and delivered related training to 150 staff members, increasing post-training awareness test scores by 35%
- Supported 2 external regulatory exams by compiling documentation, coordinating examiner requests, and preparing management response letters that resulted in zero enforcement actions
- Assisted with SAR filing preparation and CTR exception reviews, contributing to a 20% reduction in filing errors through enhanced review checklists and dual-approval procedures