

**Tricia A. Williams**



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### **Professional Summary**

Results oriented financial crimes compliance subject matter expert recognized for performance excellence in conducting strategic and tactical BSA/AML/Economic Sanctions risk and control assessments. Accomplished at establishing effective partnerships with Business Lines, 1<sup>st</sup> and 2<sup>nd</sup> Line of Defense, Corporate Audit Services, and Compliance Quality Assurance. Serve as a mentor and trainer in risk management and managing high severity issues (Regulatory MRA/MRIAs, Audit, Anti-Money Laundering Compliance/Economic Sanctions). Equipped with leadership and planning capabilities honed in demanding Consent Order environment.

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### **Accomplishments**

- Certified Anti-Money Laundering Specialist - ACAMS
- US Bank 2022 Performance Review Rating: Extraordinary
- Recipient of six U.S. Bank exemplary performance awards for leadership in financial crimes risk mitigation
- Top 5 Strength Finders: Strategic, Achiever, Arranger, Focus, Input

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### **Experience**

**U.S. Bank 425 Walnut Street, Cincinnati Ohio 45202**

**Enterprise Financial Crimes Compliance (EFCC), Vice President**

**Third Party, Domestic and Global Risk Management, Anti-Money Laundering Aug 2019 – Present**

- Plan and execute complex risk and control assessments to ensure business lines are adhering to BSA/AML regulatory requirements/expectations; examining customers, products and services, geography and controls.
- Accomplished at validating and providing risk mitigation strategies involving issues, controls, process, procedures and training.
- Executed best-in-class risk assessments of Wealth Management & Investment Services financial crimes BSA/AML risk and control environment as commented on by regulatory examiners in May 2022.
- Identified opportunities for the enterprise to identify and mitigate risks associated with transnational criminal activities involving environmental crime. Currently serve as internal subject matter expert and created training for financial crimes risk management staff.
- Examined the U.S. Bank Cayman Islands Branch risk and control environment and provided recommendations for strengthening controls.
- Skilled at leveraging data analytics and independent testing to identify areas for business line improvements.
- Recognized by senior leaders for the ability to craft clear and concise regulatory and audit responses.

**Enterprise Financial Crimes Compliance, Risk Management, Economic Sanctions**

**U.S. Bank Oct 2016 – Aug 2019**

- Executed resolution of over 200 Economic Sanctions domestic and international impacted issues (Corporate Audit Services, AML-CQA, Business Line, Business Line Quality Assurance); responsibilities included partnering with business lines to identify risk mitigation solutions and improve business processes.
- Planned and lead assessments of the enterprise's adherence to the Treasury Department's "Framework for OFAC Compliance Commitments" and the Wolfsberg Group "Guidance on Sanctions Screening."

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**Enterprise Financial Crimes Compliance, Risk Management, Economic Sanctions (contd.)**

- Planned and executed a comprehensive assessment involving data reconciliation and adherence to sanctions screening requirements. The review resulted in a Satisfactory rating.
- Executed economic sanctions business line risk assessments; examining customers, products and services, geography and controls.

**Enterprise Financial Crimes Compliance, Business Transformation Office - Project Manager****U.S. Bank Aug 2015 – Oct 2016**

- Partnered with business lines, technology and risk partners in executing the enterprise's successful implementation of a multi-million-dollar economic sanctions screening business transformation project.

**Incentive Compensation, Principal Consultant****U.S. Bank Sep 2012 – Aug 2015**

- Executed enhancements to enterprise guidance to incorporate Dodd Frank Act incentive compensation guidance in U.S. Bank's incentive compensation risk and governance framework.
- Strengthened the enterprise's incentive compensation risk environment by performing best-in-class training and assessments of incentive compensation plans. Recipient of exemplary performance award for creating first of its kind training and incentive compensation risk governance guidelines.
- Lead a cross functional transformation project which streamlined risk management assessments.

**Education**

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**University of Cincinnati**

- Bachelor of Arts – International Relations
- Master of Arts - Political Science. Concentration in Middle East Politics
- Center for Strategic and International Studies, Middle East Studies Internship

**Activities**

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- Serve as a Risk & Compliance Mentor, Trainer and Issue Management Subject Matter Expert
- Board Member & Management Advisor – US Bank Women's Business Resource Group. Created and lead career building initiatives to support women in the workplace
- Board Member – Catholic Charities of Southwest Ohio