

Headway Compliance Resources & Solutions

Headway specializes in a variety of financial disciplines. With today's economy, the need for compliance resources and specialized compliance talent is stronger than ever before. Our proprietary database of nearly one million candidates includes all levels of compliance professionals with substantial business protection experience. From Compliance Directors to Risk Managers and Internal Auditors, Headway's compliance talent network and specific compliance experience provides mobility, project variability and savings for **staff augmentation** needs.

Our candidates hail from the world's most prestigious US & Foreign Banks. The following are to name a few:

JP Morgan Chase	Deutsche Bank	HSBC
National Bank of Canada	North Fork Bank	West LB
Wachovia Securities	Santander	Bank of New York
Banco Bibao Vizcaya	CitiGroup	UBS
National Bank of Egypt	ICS Trust Co	Mitsubishi
American Express Bank	Bank of Tokyo	Societe Generale
Fuji Bank	IDB	

These compliance professionals have extensive knowledge of BSA, AML, KYC, USA Patriot Act and OFAC rules and regulations. This expertise equips them with the exceptional ability to analyze your business needs and reduce your risks. Detail-oriented, deadline-driven and personable, Headway's compliance professionals are proficient in managing, directing and motivating all levels of staff. The caliber and standard of excellence maintained by our compliance candidates comes second to none.

Our Impact

Whether the challenge is to find new avenues for growth, optimize overall operations, improve a risk profile, control costs, augment your staff or stimulate your organization to take action, Headway's Compliance Resources, Solutions and Candidates are designed to bring immediate improvement to your company's bottom line.

Headway Compliance Resources & Solutions - the Right Choice

Headway differentiates itself in this area through our skilled compliance professionals, our demonstrated track record of success and our strong commitment to customers. This commitment includes our ability to provide exceptional compliance resources at highly competitive market rates. Headway leverages our independence, operational efficiencies and national recruitment expertise to provide economies of scale, thereby enabling us to pass the savings back to our clients.

Headway Corporate Resources has been delivering innovative workforce solutions since 1974. Headway's national recruitment center, combined with its regional service delivery network offers superior staff augmentation services.

Headway Corporate Resources ranks among one of the top staffing and recruiting companies in the world and serves an array of Fortune 1000 businesses.

Our Expertise

- **Specialized industry professionals.** VP's of Compliance, Compliance Directors, Risk Officers, Managers, Auditors, Analysts, Lawyers with Compliance Backgrounds, SAR Reviewers, Surveillance Managers, and Project Managers.
- **Rigorous, proven methodologies.** Headway Professionals specialize in compliance and have extensive knowledge of U.S. and International anti-money laundering laws and regulations, (KYC, BSA, OFAC, SAR, and the US Patriot Act of 2001). They have expertise and understanding of commercial banking and regulatory supervision and are skilled at developing sound, U.S. and International Compliance Policies and strategies recognized by regulators as industry-leading initiatives.
- **Through a blend of management and behavioral approaches, Headway clients receive proven tools to transform organizational performance.** Our professionals have supervised compliance functions in various countries/jurisdictions and managed US Compliance Groups with staffs of over 120 AML specialists. They have developed corporate strategic compliance plans and programs for global financial groups. Our professionals have experience to prevent and manage exposure to regulatory and reputational risks, and have worked in conjunction with Daylight Forensic and Advisory software on KPMG's case management system to verify narratives are factual, written accurately and reflect all relevant information.
- **Collaborative working style.** Headways' compliance specialists have performed integral roles on projects including: Look Back Projects, Case Reviews for SAR, and Business as Usual. Many are CAMS certified members of the AML Retail Monitor Team, where responsibilities include the review and analysis of transactions with suspicious activity and possible violations of BSA and AML. They possess experience in filing timely suspicious activity reports with FinCEN, and are affiliated with the Association of Certified Anti-Money Laundering Specialists, who have conducted AML Roundtables at PWC, at KPMG, Ernst & Young, amongst others.
- **Time sensitive project completion research.** Our professionals challenge conventional thinking and continually conduct ongoing research of companies and their business models to keep pace with evolving processes. They continually provide insight with respect to best practices throughout the project engagement.
- **Specific compliance initiative.** Headway Corporate Resources has put together action oriented strategies to support compliance projects for our customers. An example of this type of initiative occurred with the following Compliance In Action Look-Back Project for a foreign bank.

Compliance Initiatives in Action

Project managed a team of seven analysts who investigate alerts/cases in accordance with set internal guidelines for each rule code

- Determine whether or not an alert needs to convert into a case for additional information from the branch or corresponding bank
- Determine if a case generated by the system requires investigation for additional information or if it should be closed
- Escalate matters to BSA Compliance Officer if required
- Correspond with branch or bank for additional information that requires investigating an alert/case
- Conduct in-depth research on individuals and entities using Internet and World-Check Tool
- Analyze transactional information and research data, follow up queries with branches in a timely manner

Representative Profiles of Headway Compliance Resources & Solutions:

Director of Compliance

- Set corporate strategic plans for the compliance function consistent with applicable laws, rules and regulations
- Supervise the compliance function
- Design, prepare and develop a Compliance Testing Program
- Develop action plans for the resolution of regulatory examination and audit findings
- Interact proactively with leading financial institutions, banking associations, funds, broker/dealers to prepare proposals for enactment of new AML and anti-terrorist financing regulatory requirements
- Supervise training for all branch and securities personnel covering all aspects of the BSA/USA Patriot Act, AML, and KYC

The company's award-winning human capital services include comprehensive recruiting and staff augmentation services, as well as large-scale, enterprise based, managed workforce programs.*

Compliance Attorney

- Provide senior management with regulatory compliance oversight
- Keep current with all US Regulations impacting the units
- Primary contact with regulatory authorities
- Coordinate all aspects of regulatory examinations for the branch
- Ensure that compliance oversight processes are aligned with business strategies
- Ensure that appropriate policies and procedures are in place to protect the integrity and reputation of the branch and the organization as a whole
- Analyze transactions for money laundering activity and draft reports in preparation for external audits
- Experience dealing with OCC/FDIC/NYS Banking Examiners
- Knowledge of BSA/AML

Headway's national recruitment center, combined with its regional service delivery network, uniquely connects businesses with superior workforce talent.

Compliance Analyst

- Review and analyze transactions for potential suspicious activity
- Monitor accounts to ensure compliance with BSA regulations and AML legislature
- Identify possible patterns of unusual/suspicious activity. Obtain relevant KYC supporting documents and transactional detail
- Review wire transactions involving Corresponding Banks and Designated Names Accounts
- Create a case file and make initial recommendations to the AML Senior Compliance Officer
- Fact check the information written in the Executive Summary and Memo of Fact
- Check designated national lists against customers (specifically OFAC)

SAR Reviewer (Suspicious Activity Report)

- Verify accuracy of information outlined in Memo of Fact and SAR
- Verify the information in SAR is accurate, clear, and concise
- Finalize and update completed SAR filings and reports
- Approve SAR for filing, investigation or closure

** In 2008 Genworth Financial (formerly GE Financial) Announced Headway As Its Strategic Supplier Initiative Award Winner for "Performance" and "Contributing to Genworth's success through the delivery of high quality recruitment, staffing, outsourcing, and professional development services..."*