JULIAN MERCER

COMPLIANCE ANALYST

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PROFESSIONAL SUMMARY

Compliance Analyst with 6+ years in financial-crime, regulatory, and policy compliance at banks and professional-services firms. Tests controls, investigates alerts, and writes clear findings that help business owners fix issues before regulators or auditors find them.

PROFESSIONAL EXPERIENCE

Senior Compliance Analyst Mar 2022 - Present
JPMorgan Chase, New York, NY

- Review transaction-monitoring alerts for a commercial banking portfolio, escalating suspicious activity and documenting rationale for case files.
- Complete about 45 customer due diligence and enhanced due diligence reviews a month, meeting internal quality-assurance standards at 97%.
- Run quarterly compliance testing on onboarding and sanctions-screening controls, reporting exceptions and tracking remediation to closure.
- Analyse alert data to recommend threshold adjustments, helping reduce false positives 16% without lowering coverage.
- Prepare management and committee reports on testing results, open issues, and trends for the head of regional compliance.
- Support regulatory exams by assembling evidence and responding to information requests within agreed deadlines.
- Maintain an issue register of 60 open findings with owners and due dates, reporting overdue items to compliance leadership each month.

Compliance Analyst Aug 2019 - Feb 2022
Deloitte, New York, NY

- Supported regulatory and risk advisory engagements for banking and insurance clients, assessing policies against current requirements.
- Performed control walkthroughs and sample testing, documenting findings in workpapers reviewed by managers and partners.
- Drafted gap assessments and remediation plans for anti-money-laundering programs at three mid-sized financial institutions.
- Built issue-tracking logs that gave clients one view of owners, due dates, and status across 120 open findings.
- Wrote policy and procedure updates with client compliance teams, keeping documents aligned with regulatory changes.
- Train new analysts on case documentation standards, helping the team maintain consistent quality across alert and review files.

Compliance Associate Jul 2017 - Jul 2019
Bank of America, Charlotte, NC

- Monitored employee trading and gifts-and-entertainment reports, following up on exceptions and recording outcomes in the compliance system.
- Maintained the compliance training calendar for 900 employees, achieving 99% on-time completion each year.
- Reviewed marketing materials for regulatory language and routed concerns to senior reviewers before release.
- Assisted with annual risk assessments by collecting data from 14 business units and summarising control ratings.

CORE SKILLS

Regulatory compliance | AML and KYC | Transaction monitoring | Customer due diligence | Sanctions screening | Control testing | Issue management | Policy writing | Risk assessment | Regulatory exam support | Compliance reporting | Alert investigation | Audit workpapers | Excel

EDUCATION

B.S. in Finance, University of North Carolina at Charlotte, Charlotte, NC

CERTIFICATIONS

Certified Anti-Money Laundering Specialist (CAMS) | Certified in Compliance and Ethics (CCEP)