



THOMAS TRAN

COMPLIANCE ANALYST

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OVERVIEW

Thomas M. Tran is a compliance analyst for Guidepost Solutions in the New York office. His principal assignment is augmenting the compliance staff at Guidepost Solutions client, Paxos Trust Company LLC, a blockchain technology and cryptocurrency exchange company.

For the last five years, Mr. Tran has concentrated his professional career on fraud and anti-money laundering investigations and compliance operations. Prior to joining Guidepost Solutions, he made his way from an analyst to an associate at JPMorgan Chase & Co., where he was a key contributor to many comprehensive background investigations on prospective and existing private bank clients as well as their corporate investment bank division.

As part of JPMorgan Chase & Co. Fraud Compliance Operations and Investigations department, Mr. Tran was responsible for making and documenting critical regulatory reporting decisions and when necessary, filing Suspicious Activity Reports (SARs) with the Financial Crimes Enforcement Network; assisting in the development of cases involving identity theft, wire/automated clearing house fraud, check fraud, account takeovers, merchant card compromises, and loan fraud; and conducting exhaustive reviews of all SARs to ensure they were completed properly and in accordance with regulatory guidelines and internal policies.

Most recently, Mr. Tran managed onboarding requests and oversaw the Know Your Customer (KYC) process end-to-end for corporate investment bank clients; ensured all KYC profiles and documentation met quality standards, as well as regulatory AML/KYC requirements; liaised directly with associates in various departments and clients to complete the comprehensive KYC profiles; and, performed enhanced due diligence on entities via Lexis Nexis and additional internal/external sources.

SOLUTIONS

Risk + Compliance

Financial Crime Consulting

Litigation Support

Due Diligence + Business Intelligence

EDUCATION

Bachelor of Science, Business Administration, Ramapo College