

## Stephanie Rice

### *Senior Consultant*

As an economic sanctions/financial crime adviser with extensive public and private sector experience in investigations, regulatory compliance, and risk management, **Stephanie Rice** specializes in financial crimes and compliance consulting. She brings to the table substantial experience in sanctions enforcement and compliance and is well-positioned to advise on complex sanctions matters, designing and operating compliance programs, training, and managing testing/investigations.

Ms. Rice held senior financial crimes compliance roles with several large, global financial institutions including JP Morgan Chase, Commerzbank, and Bank of Tokyo Mitsubishi. Before working in the private sector, Stephanie worked as an Investigator with the U.S. Department of Treasury's Office of Foreign Assets Control (OFAC). In this role, Stephanie worked on large multi-agency investigations involving sanctions evasion networks, terrorism financing, organized crime, and money laundering. She brought enforcement actions against banks, exporters, technology companies, and transportation companies for sanctions misconduct.

Ms. Rice also trained prosecutors, foreign delegations, and industry groups on U.S. sanctions regulations and enforcement. Stephanie holds a BA from George Washington University, where she graduated from the University Honors Program with a double major in Middle East Studies and Conflict & Security Studies and a minor in Arabic. She has lived abroad in Germany, Lebanon, and Hong Kong and speaks German, Arabic, and English.

### **Career Highlights**

- Bank of Tokyo-Mitsubishi UFJ, Ltd. - Director, Head of U.S. Sanctions Compliance
  - Supervised all aspects of sanctions compliance for BTMU U.S. entities, including screening, escalations, advisory, policies/procedures, program development, regulatory exams, investigations, and reporting
- Commerzbank AG New York - Director, Head of Sanctions Compliance
  - Served as regional Sanctions Head for the New York branch and OFAC officer for the firm
  - Supervised all aspects of sanctions compliance, including sanctions screening, payment escalations, advisory, policies/procedures, training, license applications, investigations, and reporting
- JP Morgan Chase & Co., Global Financial Crimes Compliance - Vice President, Financial Crimes Compliance Manager
  - Advised on sanctions escalations originating from all lines of business and regions across the firm; supervised mandatory reporting and policy/procedure writing; submitted license applications for the firm; provided training to regional and product sanctions officers and the business; and supported client outreach
- U.S. Dept. of the Treasury, Office of Foreign Assets Control - Sanctions Enforcement Investigator
  - Initiated and conducted investigations and brought enforcement actions against banks, exporters, technology companies, and transportation companies for sanctions misconduct
  - Worked on large multi-agency investigations involving sanctions evasion networks, terrorism financing, and money laundering
  - Provided sanctions training to law enforcement, foreign delegations, and industry associations
  - Recipient of three Special Act Awards for personal contribution to the mission of the agency

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