Noime Roesler

KYC & COMPLIANCE SPECIALIST I BANKING OPERATION SPECIALIST

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PROFESSIONAL PROFILE

Compliance and Banking Operations Specialist with extensive experience in **regulatory compliance**, **client onboarding**, and **financial reporting**. Proven expertise in **KYC, FATCA, CRS, taxation, account opening, client file review**, and **banking regulations**. Strong analytical skills and a global approach support effective risk management, process optimization, and regulatory adherence. Recognized for **professionalism, integrity**, and **autonomy**, with **strong communication skills** and **team spirit** to drive collaboration and **deliver consistent, high-quality outcomes**. Successfully contributed to **reducing compliance risks**, improving reporting accuracy, and streamlining client onboarding processes to enhance operational efficiency.

EXPERIENCE

NLS SME & AFC OFFICER — May 2023 – Oct 2023

HELVETIC PAYROLL (client DEUTSCHE BANK) I Zurich, Switzerland

- Reviewed and analysed **Name List Screening (NLS) alerts** related to **PEPs, sanctions, adverse media, and international suspicious activity reports**.
- Conducted investigations on screening alerts and escalated cases to **Relationship Managers** and **Local AFC teams** when further assessments were required.
- Documented escalations, assessments, and outcomes in line with compliance standards.
- Ensured timely closure of NLS alerts within the designated tool, maintaining accuracy and regulatory adherence.

ACCOUNT DOCUMENTATION, TAX & CONTROLS OFFICER — Feb 2019 – Jul 2022

CITIBANK I Zurich, Switzerland

- Conducted comprehensive **US indicia and client reviews**, including **KYC checks**, verification of client data (ID, contact details, addresses), nationality and domicile checks, and validation of entity questionnaires.
- Validated **US & UK tax documentation** including **W-8BEN**, **W-8BEN-E**, **W-8IMY**, and **W-9** forms to ensure compliance with **FATCA** and **CRS** regulations.
- Managed **account opening processes**, performing cross-checks on **client data**, **tax forms**, **withholding tax status**, and **reportable/non-reportable classification**.
- Approved and confirmed all **FATCA and CRS tax codes**, ensuring regulatory compliance.
- Maintained and updated client information in the **EBS system**, ensuring accurate records for both new and existing accounts.

ACCOUNT DOCUMENTATION, TAX & CONTROLS OFFICER — May 2015 – Jan 2019

SWISSLINX CONSULTING I Zurich, Switzerland

- Conducted comprehensive **US indicia and client reviews**, including **KYC checks**, verification of client data (ID, contact details, addresses), nationality and domicile checks, and validation of entity questionnaires.
- Validated **US & UK tax documentation** including **W-8BEN**, **W-8BEN-E**, **W-8IMY**, and **W-9** forms to ensure compliance with **FATCA** and **CRS** regulations.
- Managed **account opening processes**, performing cross-checks on **client data**, **tax forms**, **withholding tax status**, and **reportable/non-reportable classification.**
- Approved and confirmed all **FATCA and CRS tax codes**, ensuring regulatory compliance.
- Maintained and updated client information in the **EBS system**, ensuring accurate records for both new and existing accounts.

ACCOUNT DOCUMENTATION, TAX & CONTROLS OFFICER
Jul 2014 – Dec 2014

SWISSLINX CONSULTING I Zurich, Switzerland

- Performed **first- and second-level reviews** of client files on US indicia, ensuring accuracy of findings and adjustments, and maintaining clean, high-quality data.
- Conducted comprehensive **KYC checks** (IDs, contact details, addresses, contracts, nationality/domicile verification) using **OneSource** and **DMS**, correcting entity questionnaires where necessary.
- Reviewed **passports and client documentation** to identify potential **US indicia** and **mitigate regulatory risks**.
- Validated **US tax forms** (W-8BEN, W-8BEN-E, W-9) in compliance with FATCA requirements.
- Created and processed **third-party member roles** in OneSource, managing approvals and record integrity.
- Checked and verified **management fees** in OneSource and DMS to ensure accurate reporting and compliance.

ASSOCIATE CONSULTANT
Oct 2013 – Apr 2014

CAPCO – THE CAPITAL MARKETS COMPANY I Zurich, Switzerland

- Performed **first- and second-level reviews** on **FAIR & FATCA client files**, updating client databases in line with review rules and correcting discrepancies.
- Conducted comprehensive **client due diligence and KYC checks** (ID, addresses, contact details, account numbers, contracts, nationality/domicile) using systems such as **BIMAS** and **NPP**.
- Requested and reviewed rescans of client documentation (IDs, fiduciary, suitability) to ensure **data quality and compliance**.
- Verified and corrected **FATCA questionnaires** and raised complex **US indicia cases** to project managers and tax teams for escalation.
- Prepared and coordinated communications with **Relationship Managers** to validate client data deficiencies.
- Reviewed and released **Financial Intermediary (FIM) cases**, ensuring all documents were **original, signed, and properly certified**.
- Identified and escalated potential **PEP, US indicia, and tax-related risks**, supporting accurate regulatory reporting and compliance.

OPERATIONS CLERK
Feb 2013 – Aug 2013

LEUMI PRIVATE BANKING I Zurich, Switzerland

- Maintenance of Track Lists of finalized **Securities Transfers IN and OUT**
- Booking of Italian and EU tax
- Preparation of excel spreadsheets for Securities Transfers OUT

EDUCATION

Associate in Computer Science, Philippine College of Science and Technology Philippines 2000-2002

LANGUAGES

- **English:** fluent
- **Tagalog:** mother tongue
- **German:** A2 Level
- **French:** A2 Level