

# MARTHA LEWIS

---

## **Managing Director, Quality Risk Management**

**Charles Schwab & Co.**

### **Financial Crimes Risk Management**

**July 2019 – Present**

- Conduct and implement a comprehensive review, rebuild and strategic growth plan related to QRM teams including Quality Assurance, Risk Assessment, Financial Crimes Prevention.
- Collaborate across Compliance, Corporate Risk Management, Legal, the Business and the Internal Audit Department in executing the risk assessment and recommending strategies designed to improve the risk/return profile.
- Guide and manage a supervisory organization supporting FCRM whose responsibilities include identifying, quantifying, documenting, and analyzing financial crimes risk both horizontally across the entire business, as well as vertically down to individual customers.
- Created a quality framework to review methodologies, implement risk scoring, guide the decision-making strategy, educate stakeholders, communicate results, and recommend process and procedural changes.

## **Managing Director, Financial Intelligence Analytics & Reporting**

**Charles Schwab & Co.**

### **Financial Crimes Risk Management**

**July 2017 – July 2019**

- Built a team of ten analysts to examine emerging global risks and inform and educate FCRM, Corporate Risk Management, International Services and Jurisdiction & Policy Solutions.
- Monitored and developed distribution of intelligence briefs, monthly trending meetings, threat analysis summaries, monthly newsletters and cryptocurrency and cyber intelligence reports.
- Engaged in senior and executive level reporting related to technology/automation, policy, and process improvement initiatives.
- Participated in FinCEN's Bank Secrecy Act Advisory Group's (BSAAG's) AML Effectiveness Working Group to identify regulatory initiatives that would allow financial institutions to increase information sharing and public-private partnerships, and leverage new technologies and risk-management techniques in order to increase effectiveness and efficiency in the nation's AML regime.

## **Financial Crimes Manager III**

**Wells Fargo & Co.**

### **International AML/Foreign Financial Institution Investigations**

**Feb. 2014 – July 2017**

- Developed and supervised Wells Fargo's FII global investigations program pertaining to operational, legal, reputational and compliance risks of Wells Fargo's high-risk client and emerging risk banking portfolio.
- Risk analysis, investigation, and Suspicious Activity Reporting (SARs) completed for law enforcement related to international money movement, global sanctions, regulatory actions, negative news, and economic and political geographic climates.
- Served on the board of the Financial Institutions Review Group, an interdepartmental body of senior stakeholders that reviewed financial crimes issues across Wells Fargo's correspondent banking portfolio.
- Built and maintained strong direct relationships across multiple lines of business including: Global Financial Institutions (GFI) Risk and Compliance, Global Financial Intelligence Unit, Global Sanctions Governance, and the Internal Audit Department.
- Collaborated with peer firms and government agencies such as the FBI, DEA, HSI. Presented on the risks of money laundering and correspondent banking to industry groups such as ACAMS and the West Coast Anti-Money Laundering Forum.

**Investigations Specialist/ SF Regional Lead  
Division of Risk Management Supervision**

**Federal Deposit Insurance Corp. (FDIC)  
Jan. 2011 – Jan. 2014**

- Examined and investigated foreign, national and community financial institutions and analyzed compliance of regulations with an in-depth knowledge of BSA/AML programs including all aspects of KYC, related risk and regulatory disciplines, consumer protection statutes, audit requests and specific consent orders issued to financial institutions by regulatory agencies.
- Hired, trained and managed investigators who reviewed BSA/AML cases, the Customer Information Program (CIP), Customer Due Diligence (CDD)/Enhanced Due Diligence (EDD) policies and procedures, internal audits, securities and mortgage fraud activity, OFAC screening, internal controls, and methods of Suspicious Activity Reporting (SAR monitoring).
- Partnered with the OIG, OCC, and the Federal Reserve Bank to develop evidence, in-depth reporting, and coordinated Enforcement Actions and Civil Money Penalties by identifying individual, corporate and FI accountability related to the economic crisis.

**Founder & COO – Epstein & Lewis Litigation Support, LLC**

**Feb. 2006 – Dec. 2010**

- Orchestrated large-scale private sector financial crimes investigations on behalf of institutional investors, pension funds, and consumer classes related to securities, anti-trust matters, and additional white-collar crimes in the banking sector.
- Strong working knowledge of broker-dealer businesses, NASD/FINRA rules, federal securities regulations, banking, and securities industry practices.
- Responsible for the hiring, training, and management of a team of 12+ employees including financial crimes investigators, compliance professionals, former government agents, and licensed attorneys from civil and criminal backgrounds.
- Developed the Business Intelligence Program which conducted due diligence compliance evaluations, testing, background checks and risk assessments on corporations, executives, and their board members.

**Founder & President – Moxie Investigations, Inc.**

**March 1997 – Jan. 2006**

- Provided litigation support for securities class action lawsuits, international antitrust cases, sexual harassment/discrimination suits, consumer protection laws, OFAC sanctions and regulations.
- Built and managed a team of five investigators regarding complex civil action litigation, risk management, compliance assessments, business intelligence and consulting.
- Located and interviewed key witnesses, procured statements and declarations, conducted asset searches and background checks, and completed reports for civil and criminal cases.
- Worked closely with local and federal law enforcement on a wide range of financial crimes.

**EDUCATION**

---

- B.A./Communications, University of Wisconsin – Madison 1992
- B.A./History, University of Wisconsin – Madison 1992

**TRADE ORGANIZATIONS/CERTIFICATIONS**

---

- Certified Anti-Money Laundering Specialist (CAMS)
- Certified Financial Crimes Specialist (CFCS)
- Wells Fargo Anti-Money Laundering/Sanctions Credential (WFAMSC)
- Memberships: ACAMS, ACFE, ACFCS

**PERSONAL**

---

- Upward Roots, Oakland, CA – Board of Directors (2014 – 2019) Non-profit focused on leadership development of under-resourced youth through community service projects.
- Peak 9 Confidence – Advisory Board Member (2019 – current) Organization utilizing the sport environment as the tool to empower girls to become successful leaders.
- University of Wisconsin Division I Women's Soccer (1988-1992) Final Four 1990, National Championship 1991.