

Douglas A. Sloan

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MAJOR ACCOMPLISHMENTS

- Assisted over 60 financial institutions in developing and enhancing FCC/AML/Sanctions programs to prevent or resolve potential regulatory enforcement actions, while promoting risk-controlled business opportunities. Led a team at a global institution to develop controls to release it from its enforcement action without de-risking its client base and without fines or penalties.
- Conducted thousands of financial investigations on behalf of financial institutions that recovered millions of dollars in stolen funds, avoided reputational damage and prevented or mitigated regulatory or judicial action.
- Developed and managed sanctions (OFAC) programs, and consulted on hundreds of OFAC issues, As Head of Sanctions at a major US money center bank, opined on over 1 billion payments totaling trillions of dollars at a money center bank that resulted in only two errors valued at under \$6,000 (99.9999999% accuracy rate).
- Assisted law enforcement agencies on criminal investigations and asset tracing initiatives of major, high-profile cases that identified (and in many cases recovered) billions of dollars of laundered proceeds, and brought numerous individuals/entities to justice. Testify often as expert witness. Received numerous commendations from various governments, including the highest award from the FBI for such efforts.
- Provide training to law enforcement agencies around the world, including through the OECD law enforcement training academy.

EMPLOYMENT

CATAMOUNT HUNTSMAN - PRESIDENT

August 2018 to Present

President

Public-Private Engagements

- Act as intermediary between financial institutions and law enforcement agencies to protect financial institutions while assisting law enforcement agencies in financial crime investigations under rule of law.

Government Engagements

- Collaborate with US, EU and other foreign Law Enforcement agencies on transnational money laundering investigations, including evidence collection, analysis, asset tracing and seizures. Provide expert testimony in court based on those investigations, where required. Maintain US security clearance.
- Instructor through the OECD financial crimes training academies on money laundering techniques and analysis. Also provide targeted forensic training to US and foreign law enforcement agencies. (e.g. DEA, HSI, FBI, USSS, NCA, HMRC, and others).

Financial Institutions Engagements

- Conduct AML and sanctions (e.g. OFAC) program vulnerability assessments of financial institutions and assist in implementation of internal control program enhancements.
- Assist financial institutions in modifying business plans and models in order to maximize revenue and while mitigating inherent AML and sanction risks. Develop customized FCC and sanctions programs accordingly.
- Lead engagements that conduct and perform regular and ongoing enhanced due diligence of high risk client portfolios.
- Conduct AML and sanctions forensic investigations on as well as lead and assist on internal investigations.

DEUTSCHE BANK

August 2006 to August 2018

- Global Head of Special Investigations for sensitive internal, complex cases as well as assisted US and European law enforcement on numerous high profile investigations resulting in convictions, assets recovered and risk mitigation for Deutsche Bank.
- Head of Global Transaction Banking AML Program in the Americas region & Member of the AML Central Division for the Americas.
- Head of Sanctions (OFAC/EU/UN) for the Americas region (Direct Supervision from August 2006 through August 2011 and backup through September 2014).
- Represented Deutsche Bank on various AML and sanctions forums such as Wolfsburg Group, The NY Clearing House, and US Treasury Department initiatives.

INDEPENDENT CONSULTANT

October 2014 to April 2015

Took a six month leave of absence from Deutsche Bank to conduct the following (returned to Deutsche Bank after six months to assume role as Head of Global Special Investigations):

- **Assisted Foreign Financial Institution to Obtain Bank License.** Assisted a foreign financial institution in its application process to receive a license in the United States
- **Facilitation of Criminal Investigations.** Liaised and conducted forensic analysis and asset tracing between US law enforcement and foreign financial institutions on criminal investigations originating out of the CIS region.

IMAG, INC.

September 2001 to July 2006

- Developed, built and project managed risk-based FCC, AML, and Sanctions/OFAC control programs at over 20 Financial Institutions, and conducted over 30 vulnerability assessments.
- Conducted independent fraud, insider trading, and money laundering investigations.
- Established broker dealers, foreign bank branches, and FCMs in the US (capital size ranging from \$30 million to over \$1 billion). Engagements included license applications to regulators as well as build out of requisite infrastructure.

DG BANK

- Broker Dealer Chief Operating Officer February 1999 to September 2001
- Strategic Director of DG North America's \$6 billion plan. January 1998 to September 2001
- Project Manager, Acquisition of Hungarian Bank July 1997 to January 1998
- Manager, International Audit Division January 1996 to July 1997

FEDERAL RESERVE BANK

- Bank Examiner May 1993 to January 1996

EDUCATION

- **THE FLETCHER SCHOOL OF LAW & DIPLOMACY, TUFTS/HARVARD UNIVERSITY**
Masters Degree in both Finance and International Law. May 1993.
- **STATE UNIVERSITY OF NEW YORK**
B.A., Humanities. May 1991.
- **FURTHER UNIVERSITY EDUCATION**
 - Fulbright Research with German Government. Berlin, Germany. Winter 1990-1991
 - Boston University/Bentley College. Fulfilled accounting degree requirements. December 1995.
- **LANGUAGES:** English and German fluency. Basic skills in Spanish, Dutch, Hungarian and Polish.