



CONGRESO VIRTUAL
CON ALTA TECNOLOGÍA

 **congresoemisfericopanama**

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Carlos Adolfo Vargas-Núñez

Business Administrator, with 20 years' experience in the financial sector, experience in the Compliance, Human Resources, Administration and Customer Service areas as well as in planning, implementing and managing process improvement projects, with proven results in reducing costs and enhancing process efficiency. Creative and dynamic personality, team worker, impacting and influencing the teams led, excellent handling of work under pressure, great sense of responsibility, solid values and committed to meeting Company objectives.

PROFESSIONAL EXPERIENCE

ATLANTIC SECURITY BANK

May 2016 - now

ASB engaged in private banking and asset management; is 100% owned by Credicorp Ltd. As of 31st December 2016, ASB had total assets for US\$ 1,984 M.

Compliance Officer

AML / MLRO Compliance Officer, responsible for AML Program.

- Advising and providing guidelines to the Bank regarding Compliance Programs
- Assure the correct compliance of regulations that directly impacts the bank regarding Compliance issues.
- Inform the Board of Directors about the performance of the AML Program, and to keep abreast of risks regarding AML.
- Supervise all the Compliance Programs in our scope; for example: AML, FATCA, CRS, OFAC, among others.
- Establish new controls regarding AML.
- Prepare and participate in the Compliance Committee.

BANCO DE CRÉDITO DEL PERU

January 2012 – April 2016

A leading Company in the Peruvian financial sector, with a presence in countries in Latin America Central America, Europe and the United States, with a total income of S/. 8,661 million soles.

Assistant Compliance Manager

Corporate Project Manager for the FATCA project, in charge of 4 analysts, responsible for corporate coordination with outside Compliance Officers and with Regulatory Compliance advisors; reporting to the Compliance Division Manager and the AML/CFT Area Manager. Was appointed as Assistant Corporate Advice Manager (2013-2014 period).

- Managing corporate fiscal transparency projects
- Corporate responsibility for the implementations of the FATCA and CRS Projects
- Assuring the business' operating continuity and taking care of outside counterparties
- Supervising Private Banking and Foreign Trade Compliance Advisors
- Managing efficiency projects for Private Banking
- Responsible for assuring that the Compliance work plans are in line with corporate ones
- Advising and providing guidelines to the Group's companies regarding Compliance and FATCA
- Coordinating FATCA Committee meetings directly with the Peruvian Banking Associations



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Accomplishments:

- Corporate implementation of the FATCA regulation at 16 companies in the Credicorp Group
- Speaker at the International Tax Transparency Forum (Miami, Fla – August 2015)
- Panellist at the FATCA Conference (Pontifical Catholic University of Peru – October 2015)

BANCO DE CRÉDITO DEL PERU

May 2007 - January 2012

Head of the Investigations Department

Responsible for monitoring strategies in generating investigation alert flags for the prevention of money laundering, in charge of 10 analysts; reporting to the Investigations Manager. **CAMS** Certification (Association of Certified Anti-Money Laundering Specialists).

- Responsible for the process of evaluating and investigating money laundering alert flags
- Monitoring goals and management indicators
- Monitoring requirements set for the Business Executives
- Participating in projects for improving processes and making them more effective
- Analysing high-risk accounts
- Responsible for the quality control of the processes related to alert flag evaluations

Accomplishments:

Implementation of the methodology for identifying money laundering alert flags by analysing financial statements.

BANCO DE CRÉDITO – MIAMI BRANCH

September 2006 – April 2007

Senior Compliance Analyst

Responsible for analysing special accounts according to the Enhanced due Diligence approach; reporting to the Miami Branch Compliance Manager.

- Responsible for analysing high-risk accounts and handling alert investigations, as well as for preparing the Enhanced Due Diligence reports.
- In charge of analysing the activities planned in the annual work plan supervised by the FED

Accomplishments:

- Appreciation from the General Manager for outstanding performance.

BANCO DE CRÉDITO DEL PERU

June 1999 – August 2005

Fraud / Authorisations Supervisor

Responsible for assuring the operating continuity of the Fraud and Authorisations Unit, in charge of 17 service advisors; reporting to the Telephone Banking Area Manager-

- Responsible for assuring the service quality for the Visa and American Express brands
- Responsible for the process of monitoring and implementing fraud alert strategies
- Implementing service standards for the Visa and American Express credit cards
- Calculating the plant capacity for handling monthly customer demand
- Taking care of customers abroad with special emergency services

Accomplishments:

Qualitas Prize (Prize for Service Quality)