KYC / AML DATA QUALITY ANALYST · CAPITAL MARKETS

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HSBC KYC / AML · MPS Analytics
Open to Toronto / GTA relocation

Python · SQL · Power BI

KYC & AML Data Quality Portfolio

Financial crime · Data quality · Python / SQL · KRI reporting

"Compliance and data — not one or the other."

A confidentiality-safe portfolio showing how I keep KYC and regulatory data clean — profiling and reconciling records, resolving exceptions, publishing KRI scorecards, and turning data issues into defensible decisions.

2M+	23%	30%	$40M+
TRANSACTIONS ANALYSED	DETECTION IMPROVEMENT	FALSE-POSITIVE REDUCTION	HIGHER-RISK FLAGGED

I sit between AML compliance and the data that powers it.

Most people are strong on one side or the other. My advantage is hands-on KYC/AML operations plus real data engineering and analytics.

WHY THIS BACKGROUND FITS THE ROLE

At HSBC I performed KYC / customer due diligence and AML / financial-crime monitoring — reviewing transactions, investigating alerts, and documenting cases within regulatory obligations.

As an analyst I build the other half: Python and SQL pipelines, reconciliation and exception reports, and Power BI dashboards that surface data-quality issues, patterns, and KRI metrics. My MPS in Applied Machine Intelligence ties the two together.

"I can investigate the alert, write the data-quality memo, and build the scorecard that stops it recurring."

CAREER EVIDENCE CHAIN

KYC / AML OPERATIONS — **HSBC**
CDD, transaction review, alerts, case narratives

FINANCIAL-CRIME ANALYTICS — **HSBC**
Python/SQL on 2M+ txns; +23% detection, −30% FP

DATA QUALITY & BI — **Independent**
Reconciliation, exception reports, Power BI, FINTRAC dashboard

APPLIED ANALYTICS — **Northeastern**
Python, SQL, statistical & ML workflows; GPA 3.89

RECONCILIATION & RECOVERY — **David Jones**
Discrepancy analysis; $1.2M recovered

OPERATIONS & RECORDS — **Grameenphone**
High-volume data, ownership, accuracy

Clean KYC data is a repeatable process.

Quality comes from structure: validated records, reconciled sources, classified exceptions, documented remediation, and metrics that catch the next issue early.

01

Ingest & intake

Onboard / refresh records; define scope and owners.

02

Profile & validate

Check completeness and format against the data dictionary.

03

Reconcile & except

Reconcile sources; generate exception reports.

04

Root-cause

Classify issues; find patterns and systemic causes.

05

Remediate

Correct records; assign owners; track to closure.

06

KRI scorecard

Publish data-quality metrics and issue memos.

07

Monitor & control

Controls, audit-readiness, recurring review.

COMPLETE & ACCURATE

Every required field, validated.

RECONCILED

Sources agree, or the gap is explained.

DOCUMENTED

Issue, owner, remedy, and date recorded.

AUDIT-READY

Controls and evidence stand up to review.

AUTOMATION ASSISTS. CONTROLS DECIDE.

- SQL & Python to profile, reconcile, and flag exceptions at scale.
- Power BI to publish KRI scorecards and trend the issue backlog.
- Human verification, confidentiality, and audit trails stay mandatory.

A KYC refresh batch failing data quality.

A confidentiality-safe example: exception triage, reconciliation, root-cause, remediation, and a control that stops recurrence.

THE ISSUE

A quarterly KYC refresh batch returns a spike in exceptions — a cluster of client records with blank or mismatched fields, threatening the refresh SLA.

EXCEPTIONS REVIEWED

- Missing / blank required fields
- Source-to-system reconciliation gaps
- ID and entity-name mismatches
- Records vs. data-dictionary rules

HOW I WORKED IT

1. **Triage & quantify**

   Size the exception spike; isolate the affected segment.

2. **Reconcile sources**

   Compare feed vs. system; pinpoint where fields drop.

3. **Root-cause**

   A changed upstream feed mapping blanked two fields.

4. **Remediate & control**

   Correct records; fix mapping; add a validation rule.

OUTCOME

Exceptions cleared within SLA, the systemic cause fixed at source, and a validation rule added so the same break is caught automatically next cycle.

CONTROL FOLLOW-UP

Trend-code the issue; add the rule to the data dictionary; assign owner and review date; preserve the audit trail.

THEN REPORT IT

Capture in the KRI scorecard and a short data-issue memo to the CLM group, compliance, and front office.

From exceptions to a clear, defensible memo.

A good data-issue memo states what broke, the impact, the fix, and the control — in language compliance, the front office, and audit all trust.

DATA-ISSUE MEMO — ILLUSTRATIVE

Issue. Quarterly KYC refresh exceptions rose sharply for one client segment, with blank required fields and source-to-system mismatches.

Root cause. An upstream feed mapping change stopped populating two required fields; affected records failed validation on refresh.

Impact. Refresh SLA and data-quality KRIs at risk for the segment; no evidence of heightened AML risk, but records were non-compliant until corrected.

Action & control. Corrected affected records, fixed the feed mapping at source, and added a validation rule to the data dictionary so the break is flagged automatically. Owner and review date assigned; trend-coded for monitoring.

Illustrative synthetic example — no real client, RBC, or employer data.

WHAT A STRONG MEMO DOES

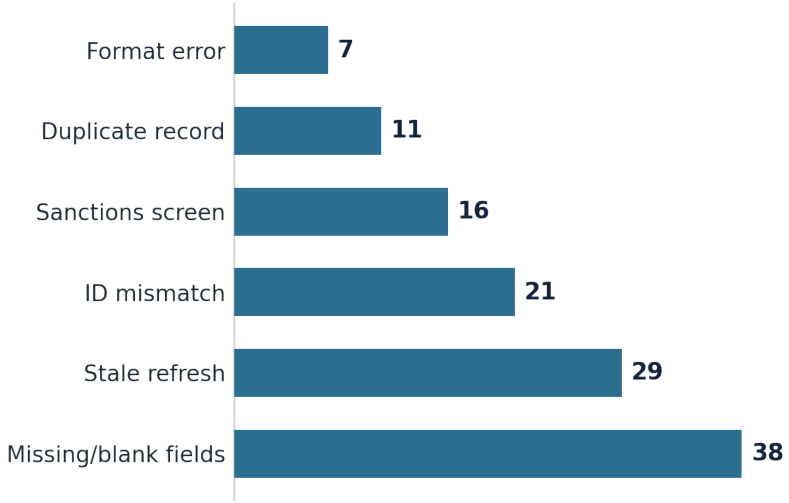
1. **States the issue plainly**
   Scope, segment, and what failed.
2. **Names the root cause**
   Systemic, not just the symptom.
3. **Assesses the impact**
   SLA, KRI, and any risk implication.
4. **Fixes at source**
   Plus a control to prevent recurrence.
5. **Assigns owner & review**
   Trend-coded and audit-ready.

Metrics turn one-off fixes into prevention.

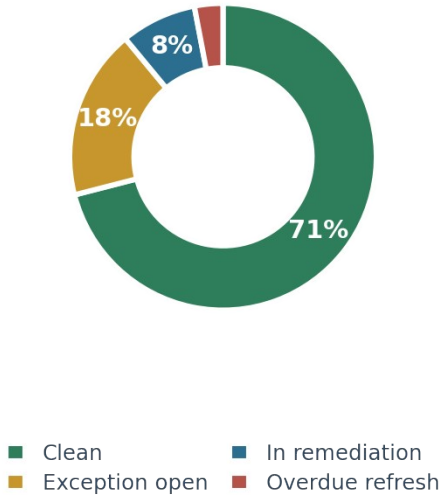
A KRI scorecard surfaces exception backlog, refresh timeliness, recurring root causes, and the records that need action first.

94%	18	6 days	3%
FIELDS COMPLETE	EXCEPTIONS OPEN	MEDIAN TO REMEDIATE	OVERDUE REFRESH

Exceptions by type



KYC record status



WHAT THE SCORECARD SHOULD TRIGGER

- Prioritise records nearing a refresh deadline.
- Flag recurring exception types and root causes.
- Compare data quality by source, segment, and feed.
- Escalate systemic issues into validation rules and controls.
- Keep AML/regulatory concerns visible to Policy & QC.

Illustrative synthetic data — not RBC data.

06 — ROLE FIT

What I would bring to RBC Capital Markets CLM.

Hands-on KYC/AML, real data engineering, and the discipline to keep regulatory data clean, documented, and audit-ready.

KYC / AML & REGULATORY

- HSBC KYC / CDD and AML / financial-crime operations
- Transaction review, alert investigation, case narratives
- Regulatory & audit-readiness; confidentiality
- Foundation in AML / TF / sanctions concepts

DATA & ANALYTICS

- Python and SQL — pipelines, reconciliation, exceptions
- Power BI / Tableau KRI scorecards and dashboards
- Data-quality control and data-dictionary maintenance
- MPS in Applied Machine Intelligence (GPA 3.89)

JUDGMENT & COMMUNICATION

- Breaks problems into clear, logical steps
- Writes plain, audit-ready data-issue memos
- SME mindset; aligns front and back office
- Detail-oriented, collaborative, eager to learn CM

EDUCATION

MPS Analytics, Northeastern Vancouver (GPA 3.89) · Master of Professional Accounting (CPA Australia–accredited) & MBA, Holmes Institute · Financial Services Compliance & AML (HSBC)

BEYOND WORK

Community financial-literacy volunteer & graduate peer mentor · Member, VanFinTech & Vancouver Data Beers · Hiking, indoor cricket, and creative video editing.

EXPLORE THE LIVE PORTFOLIO

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All examples are hypothetical or generalized and contain no confidential client or employer information.