



Lisa D. Smith, Inc.

Capabilities Statement

BUSINESS OVERVIEW

DUNS: 080195000

CAGE Code: 7KLB9

Company Type: S Corp

Established: 2011

F-EIN: 45-3245584

GSA Schedule: 00CORP

INDUSTRY CERTIFICATIONS

CAMS
CFE
WBENC
MBE
WOSB
NCHUB

NAICS CODES

541618: Other Mgmt Svcs
541611: Admin Mgmt & Gen
Mgmt Consulting Svcs
561611: Investigation Svcs

CONTACT INFO

Key Negotiator:

Lisa D. Smith
Lisa@LisaDSmithInc.com

Phone: (980) 224-3174

Fax: (704) 271-9719

Address

13016 Eastfield Road
Suite 200-101
Huntersville, NC 28078

Website

www.LisaDSmithInc.com

CORE COMPETENCIES

Lisa D. Smith, Inc. is a woman and minority owned small business providing staff augmentation and advisory solutions. We serve the commercial and governmental markets in the following BSA/AML areas of practice.

- Alert Triage/Review
- Compliance Programs & Business Reporting
- Conducting Interviews
- Conflict Resolution
- Currency Transaction Reporting (CTR)
- Customer Identification Program (CIP)
- Customer On-Boarding
- Dispute Analysis
- Economic Sanctions/OFAC
- Enhanced Due Diligence (EDD)
- Forensic Accounting
- Fraud Examinations/Reviews
- Fraud Risk/Controls
- Internal Controls
- Investigations
- High Risk Reviews
- Know Your Customer (KYC)
- Model Validation
- OFAC/Sanctions
- Policies/Procedures
- Project Coordination
- Quality Assurance
- Regulatory Compliance
- Remediation
- Risk Assessments
- Suspicious Activity Reporting (SAR)
- Training
- Transaction Monitoring
- Tuning/Optimization
- Watchlist Integration

Founder and President, Lisa D. Smith, is a Finance Compliance Risk Professional with over 23 years of financial institution experience, who holds a Bachelor's degree in International Business and a Master's degree in International Finance from Johnson & Wales University, and a Juris Doctorate (JD) degree from Cal Southern University, coupled with industry certifications as an Anti- Money Laundering Specialist (CAMS) and a Fraud Examiner (CFE).

DIFFENTIATORS

In an arena dominated by male counterparts, founder and President, Lisa D. Smith utilizes her past experience in accounting, corporate financial control, compliance risk management and audit to market Lisa D. Smith Inc. as a minority female provider of consulting services that includes managerial oversight, compliance leadership and direction on financial crime engagements from coast to coast. Specifically, Ms. Smith provided subject matter expertise in the area of AML, BSA and Economic Sanctions related issues including identifying, assessing and managing risks associated with money laundering and terrorist financing.

Smith's diverse experience and continually proven and progressive roles in the trenches of the Financial Crimes arena as well as her vast network of contacts allows Lisa D. Smith, Inc. to provide exemplary on-site services for federal and state government and contracts related to Transaction Monitoring/Investigations, Look Backs, Quality Assurance Reviews, Training and Project Management.