



2019 MAY 30 PM 1:37
OFFICE OF THE
SECRETARY

MURIEL BOWSER
MAYOR

MAY 30 2019

The Honorable Phil Mendelson
Chairman
Council of the District of Columbia
John A. Wilson Building
1350 Pennsylvania Avenue, NW, Suite 504
Washington, DC 20004

Dear Chairman Mendelson:

In accordance with section 2 of the Confirmation Act of 1978, effective March 3, 1979 (D.C. Law 2-142; D.C. Official Code § 1-523.01), and pursuant to D.C. Official Code § 25-201, I am pleased to nominate the following individual:

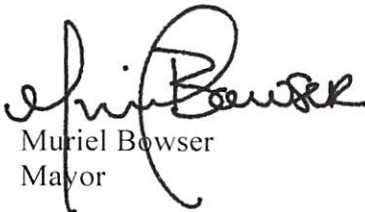
Rafi Aliya Crocket
4213 20th Street, NE
Washington, D.C. 20018
(Ward 5)

for appointment as a member of the Alcoholic Beverage Control Board, replacing Nicholas S. Alberti, for a term to end May 7, 2023.

Enclosed, you will find biographical information detailing Ms. Crocket's experience, together with a proposed resolution to assist the Council during the confirmation process.

I would appreciate the Council's earliest consideration of these nominations for confirmation. Please do not hesitate to contact me, or Steven Walker, Director, Mayor's Office of Talent and Appointments, should the Council require additional information.

Sincerely,


Muriel Bowser
Mayor



Chairman Phil Mendelson
at the request of the Mayor

A PROPOSED RESOLUTION

IN THE COUNCIL OF THE DISTRICT OF COLUMBIA

Chairman Phil Mendelson, at the request of the Mayor, introduced the following resolution,
which was referred to the Committee on _____

To confirm the appointment of Rafi Aliya Crocket, as a member of the Alcoholic Beverage
Control Board.

RESOLVED, BY COUNCIL OF THE DISTRICT OF COLUMBIA, That this
resolution may be cited as the "Alcoholic Beverage Control Board Rafi Aliya Crocket
Confirmation Resolution of 2019".

Sec. 2. The Council of the District of Columbia confirms the appointment of:

Rafi Aliya Crocket
4213 20th Street, NE
Washington, D.C. 20018
(Ward 5)

as a member of the Alcoholic Beverage Control Board, pursuant to D.C. Official Code § 25-201,
replacing Nicholas S. Alberti, for a term to end May 7, 2023.

Sec. 3. The Council of the District of Columbia shall transmit a copy of this resolution,
upon its adoption, to the nominee and to the Office of the Mayor.

Sec. 4. This resolution shall take effect immediately.

RAFI ALIYA CROCKETT, CAMS

racrockett@marooncompliance.com | 301-318-7942

12 years of progressive leadership focusing on domestic and international financial crimes compliance programs

- Enterprise-Wide Risk Assessments
- AML and Sanctions Policies and Procedures
- AML and Sanctions Training Programs
- OFAC and E.U. Sanctions Regulations
- FCPA and U.K. Bribery Act
- Regulatory Examinations

EXPERIENCE

Senior Compliance Director

12/2016 – 1/2019

Compliance Consultant

3/2016 – 12/2016

Natixis CIB Americas, New York, NY

- Designed risk assessment methodologies for BSA/AML, sanctions and anti-bribery and corruption.
- Analyzed qualitative and quantitative data to draft risk assessment reports, and presented findings to senior management.
- Drafted written responses to regulatory exams and internal audit, and participate in on-site exam meetings.
- Developed QA Sampling Manual for transaction monitoring, sanctions screening and KYC review.
- Drafted 2018 CIB Americas Code of Conduct based on guidance from Head Office.
- Managed policies and programs related to gifts and entertainment, political contributions, and outside business interests.

Financial Crimes Consultant

4/2017 – 9/2017

Segovia, New York, NY

- Performed independent BSA/AML and OFAC/sanctions audit, and defined prioritized remediation recommendations for the fintech firm.
- Drafted procedures for, and provided guidance on, U.S. and U.K. AML and sanctions legislation and regulations.
- Provided written and oral guidance on the FCPA, U.K. Bribery Act, PEPs and anti-corruption procedures.
- Designed and conducted BSA/AML, sanctions and anti-bribery training for the Board of Directors.

Manager, Financial Advisory Services

1/2014 – 2/2016

PricewaterhouseCoopers LLP, Washington, DC

- Designed target operating models for BSA/AML and OFAC/sanctions compliance programs for global banks, securities firms and asset management companies.
- Evaluated financial institution's current policies and procedures to identify inconsistencies with the BSA, PATRIOT Act, and OFAC and E.U. sanctions regulations, and leading industry practices.
- Drafted global BSA/AML and OFAC/sanctions policies and procedures for Business Units and Compliance functions.
- Defined controls for AML and OFAC/sanctions compliance procedures performed in the Business Unit.
- Effectively managed more than twenty staff across three countries. Communicated priorities, developed performance standards, and evaluated staff performance.
- Performed quality control review of complex investigations. Advised first and second-level review staff. Drafted SARs.
- Developed risk-based methodology and procedures for second and third-level review of a sample of alerted transactions, resulting in 40% increased productivity.

Compliance Officer-Analytics and Assessments

8/2012 – 12/2013

Citigroup, Long Island City, New York

- Coordinated the Enterprise-Wide OFAC and the Enterprise-Wide Anti-Bribery and Corruption Risk Assessments.
- Developed inherent risk and mitigating control data elements, and worked with the Quantitative Solutions team to develop methodologies to calculate inherent risk, controls, and aggregate risk for the AB&C Risk Assessment.
- Trained staff from over 140 assessment units in risk assessment methodologies, particularly controls survey procedures.
- Drafted and presented reporting on the OFAC and AB&C Risk Assessments to senior leadership and key stakeholders.
- Developed and managed metrics to identify, measure, and manage BSA/AML risks associated with new and pending products.
- Designed and developed reports identifying BSA/AML key risk, performance and compliance indicators related to new products, particularly mobile products and services.

Economic Crimes Resident Advisor

7/2010 – 7/2012

U.S. Treasury, Office of Technical Assistance, Accra, Ghana

- Advised ministries and agencies in the Republic of Ghana on development and implementation of measures to combat money laundering and terrorist financing, resulting in the country’s removal from the FATF ICRG process.
- Regularly briefed senior officials including the attorney general, deputy ministers of finance, central bank governor, and directors of various law enforcement agencies on completed objectives of the AML/CFT Country Roadmap.
- Drafted policies and procedures for STR analysis, requests for information and law enforcement referrals.
- Trained, mentored, and oversaw the work of six financial intelligence unit staff.
- Trained four judges and over 30 prosecutors and law enforcement officials in financial investigative techniques.
- Provided AML/CFT and OFAC/sanctions training to compliance staff of ten local financial institutions.

Regional Liaison, Sub-Saharan Africa

12/2008 – 7/2010

U.S. Treasury, Financial Crimes Enforcement Network, Vienna, Virginia

- Identified and monitored money laundering and terrorist financing risks in Africa, as well as trends in illicit finance and AML legislation and capacity in the region.
- Facilitated information exchange between FinCEN and African financial intelligence units, including use of successful diplomacy and negotiations to re-establish information exchange with a strategic FIU partner.
- Developed a strategic project utilizing Currency and Monetary Instrument Reports (CMIRs) to analyze illicit currency flows between the United States and Nigeria. The project has resulted in several high-level investigations in Nigeria.
- Served on the U.S. delegation at two FATF-styled regional bodies in Africa, GIABA and ESAAMLG.
- Provided oral and written “follow the money” guidance to two interagency working groups, the Kleptocracy Working Group and the Working Group on Counter Narcotics in Africa.
- Drafted sections of the State Department’s International Narcotics Control Strategy Report.

Compliance Officer

1/2008 – 12/2008

U.S. Treasury, Office of Foreign Assets Control, Washington, D.C.

- Interpreted and applied the regulations of more than twenty OFAC sanctions programs and provided verbal and written guidance to the financial community, businesses and the general public regarding banking, trade and other financial transactions.
- Conducted case assessments of regulated financial institutions to ensure compliance with sanctions regulations, recommending appropriate enforcement action when necessary.
- Maintained liaison with representatives of the financial services community, and conferred on complex and sensitive matters in connection with transactions or operations authorized by OFAC sanctions regulations or licenses.
- Provided testimony on the Iranian Transactions and Sanctions Regulations in the case of *U.S. v Ali Amirnazmi*.

Sanctions Investigator

5/2006 – 1/2008

U.S. Treasury, Office of Foreign Assets Control, Washington, D.C.

- Conducted investigations and prepared evidentiary memoranda supporting the designation of individuals and entities under various executive orders and U.S. sanctions regulations.
- Analyzed complex financial and business data, law enforcement investigations, and governmental and private sector information to prepare evidentiary memoranda in accordance with OFAC procedures and U.S. sanctions regulations.
- Applied knowledge of U.S. and UN administrative laws regarding economic sanctions to develop designation targets and draft options papers, policy analyses, position papers, and talking points for senior Treasury officials.
- Coordinated the interagency working group that directed efforts to apply domestic and international policy in the investigation and application of economic sanctions and other measures against a state sponsor of terrorism.
- Provided oral and written briefs for the Secretary of Treasury and Deputy Secretary of State on U.S. and international sanctions and trade options targeting a state sponsor of terrorism.
- Maintained liaison with USUN to coordinate U.S. sanctions efforts on Sudan and Burma.
- Served as the first Department of Treasury Integree in the Follow the Money branch of the NSA, providing Treasury support to intelligence and language analysts, collections experts and technical leaders.

EDUCATION AND CERTIFICATION

Certified Anti-Money Laundering Specialist
M.A., University of Massachusetts at Amherst
B.A., George Washington University

VOLUNTEER ACTIVITIES

Board Secretary, Museum of Contemporary African Diasporan Arts
Board Member, Humanities DC
Advisory Review Panelist, DC Commission on the Arts and Humanities

R.A. Crockett



Executive Office of the Mayor - Office of Talent and Appointments
John A. Wilson Building | 1350 Pennsylvania Avenue, Suite 600 | Washington, DC 20004

Rafi Aliya Crockett



Rafi Aliya Crockett is a Certified Anti-Money Laundering Specialist with over 13 years of experience providing risk and regulatory guidance to domestic and international financial institutions and government agencies. Ms. Crockett specializes in executing compliance risk assessments, and drafting and interpreting policies and regulations. Her experience includes serving as the U.S. Department of Treasury's Economic Crimes Resident Advisor in the Republic of Ghana, and Treasury's first secondee to the NSA's Follow-the-Money branch. In 2016, she founded Maroon Compliance where she continues to help corporations large and small manage compliance risk and guide them through regulatory exams.

In addition to a productive career in compliance, Ms. Crockett is a life-long student and patron of the arts and humanities. She serves on the boards of the Humanities Council of Washington, D.C. and the Museum of Contemporary African Diasporan Arts in Brooklyn, NY.

A ward 5 resident, Ms. Crockett is a Native Washingtonian and a proud graduate of Paul Laurence Dunbar Senior High School. Ms. Crockett holds a Bachelor of Arts degree from George Washington University and a Master of Arts from the University of Massachusetts, Amherst.



GOVERNMENT OF THE DISTRICT OF COLUMBIA
Executive Office of Mayor Muriel Bowser



Office of the General Counsel to the Mayor

To: Kimberly Bassett, Steve Walker
From: Betsy Cavendish
Date: May 22, 2019
Subject: Legal sufficiency review of Resolution nominating Rafi Aliya Crocket as a member to the Alcoholic Beverage Control Board

This is to Certify that this office has reviewed the above-referenced legislation and found it to be legally unobjectionable. If you have any questions in this regard, please do not hesitate to call me at 202-724-7681.

A handwritten signature in black ink that reads 'Elizabeth A. Cavendish'. The signature is written in a cursive style.

Elizabeth Cavendish