



- :: TRADING, PORTF. MANAGEMENT
- :: RISK MANAGEMENT
- :: COMPLEX SECURITIES, DERIVATIVES
- :: FIXED INCOME
- :: FOREIGN EXCHANGE (FX)
- :: EQUITY FINANCE, PRIME

## Industry Experience

<b>Agile Financial LLC, New Jersey</b>	<b>2019–Present</b>
Citibank	2023 – 2023
Securities-based lending project	
City National Bank	2022 – 2022
Updated infrastructure of Risk Mgmt area	
Udon Labs backed by Atomic Mgmt VC	2021 – 2022
Provided performance analytics to Fintech RIA	
Shin Han Bank	2021 – 2022
Update of all risk management policies	
UBS Wealth Mgt. USA	2021 – 2022
Credit Risk Mgmt policies updated / QC of loans	
Hilltop Securities, (remote)	2021 – 2021
Analysis of risk management area	
Several Entities of MUFG	2019 – 2020
Risk Mgmt policies updated / RCSA performed	
Atlas Bank, Panama (remote)	2019 – 2019
Creation of Credit Risk Management Policy	
<b>AIG, NY</b>	<b>2017 – 2018</b>
Head of Risk Governance	
<b>ITAÚ PRIVATE BANK, Miami</b>	<b>2013 – 2016</b>
Head of Risk Management	
<b>ITAÚ USA ASSET MANAGEMENT, NY</b>	<b>2012 – 2016</b>
Chief Risk Officer	
<b>CREDIT SUISSE, NY</b>	<b>2005 – 2012</b>
Market and Liquidity Risk Management for Credit FI	
<b>GALTERE INTERNATIONAL FUND, NY</b>	<b>2004 – 2005</b>
Portfolio Manager, Global Macro Hedge Fund	
<b>Prudential Securities, NY</b>	<b>2001 – 2004</b>
Head of Repo Desk for International Securities	
<b>BNP Paribas, NY and London</b>	<b>1999 – 2001</b>
Head of Repo Desk for International Securities	
<b>Chase Manhattan Intl Ltd, London</b>	<b>1998 – 1999</b>
Head of Repo for Eastern Europe	
<b>ANZ Investment Bank, London</b>	<b>1997 – 1998</b>
Head of Repo Desk	
<b>Salomon Brothers, NY and London</b>	<b>1991 – 1997</b>
Repo / Securities Lending / Options / Futures Trader	

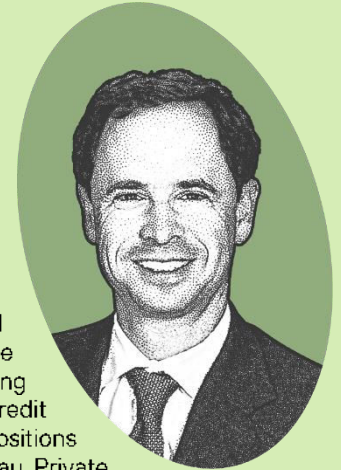
## Education

<b>New York University, Stern School of Business</b>	<b>1992</b>
Advanced Professional Certificate, Finance	
<b>Rensselaer Polytechnic Institute</b>	<b>1989</b>
M.S. Computer Science & Information Systems	
<b>US Merchant Maritime Academy</b>	<b>1986</b>
B.S. Marine Engineering Systems	

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# Andrew Auslander, CFA, FRM

Andrew Auslander is a financial expert with decades of experience in Finance and Risk Management with global financial institutions. He was a fixed income trader for twelve years and traded bonds, repo, securities lending, interest rate and FX options. He is an expert in the valuation of corporate bonds and loans with extensive experience in Latin American and Eastern European bonds. For 12 years he was responsible for managing customer credit risk, interest rate risk, and funding risk. He has negotiated and reviewed hundreds of Global Master Repurchase Agreements, Global Master Securities Lending Agreements, ISDA Master Agreements, and Credit Support Annexes. He held senior risk management positions for fifteen years including Chief Risk Officer. At Itau Private Bank, Andrew co-chaired the Credit Risk Committee at an \$11 billion private bank where he approved \$1 billion of credit lines. He reviewed and approved billions of dollars of structured bonds as head of Asset-Liability Committee. He also led a project to update the entire suitability process.



Mr. Auslander has extensive policy and procedure experience. He has written or revised over one-hundred risk management policies and procedures. He has experience responding to the SEC as he was Chief Risk Officer at Itau (USA) Asset Management when we went through a 6-month SEC examination. He has also been the main risk management contact during three US Federal Reserve and FINRA examinations.

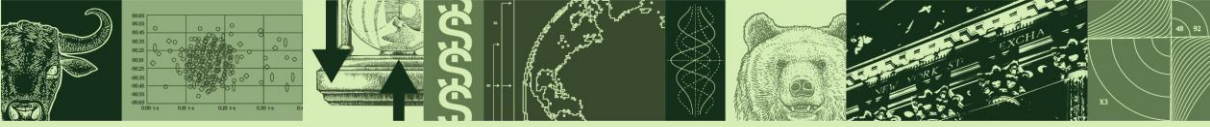
## Areas of expertise

### Risk identification, assessment, advisory, reporting:

- + Policies, procedures, governance, AML/BSA
- + SEC, US Federal Reserve & FINRA examinations
- + US Liquidity stress tests (SR 10-6)
- + Basel - Liquidity Coverage Ratio, Net Stable Funding Ratio
- + Market, credit, operational, liquidity, interest rate, liquidity risks
- + Asset & liability management (ALM)
- + Corporate bonds & loans, structured bonds
- + Latin American and Eastern European bonds
- + Repo, securities lending, margins calls, Cum-Ex
- + Futures & options, Greeks
- + Damages

### Keywords:

AML/BSA risk management, (OTC) derivatives, 1934 Act compliance, 1940 Act compliance (Form ADV), asset liability Management (ALM), Bank Secrecy Act (BSA), banking, Basel - liquidity coverage ratio, Basel III, best execution, broker dealer, capital markets, Chief Risk Officer (CRO), close out of trading account, commodities, commodity derivatives, controls, convertible bonds, corporate bonds, corporate loans, cost of carry, credit analysis, credit committee, credit default derivatives, Credit Default Swaps (CDS), credit risk, cum/cum, cum/ex, debt markets, delta, derivative valuation, derivatives, digital and barrier options, duty of care, Eastern European bonds, Federal Reserve Board (FRB), FINRA Series 24 Principal, fixed income, Fund Transfer Pricing (FTP), futures & options, FX, FX forwards, FX options, gamma, Greeks, hedge fund management, interest rate risk, ISDAs and CSAs, Know-Your-Customer (KYC), Latin America (LatAm), liquidity risk, listed derivatives, margin calls, market risk, mortgage-backed securities (MBS), Net Stable Funding Ratio (NSFR), operational risk, option valuation, over-the-counter (OTC) derivatives, policies, portfolio margin, procedures, Reg 144A, Reg BI, Reg S, Reg T, repo trading, risk management, risk management policies, SEC/US federal reserve & FINRA examinations, securities lending, stress testing,



structured bonds, suitability, trader, trading, US  
liquidity stress tests (SR 10-6), value-at-risk models.

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