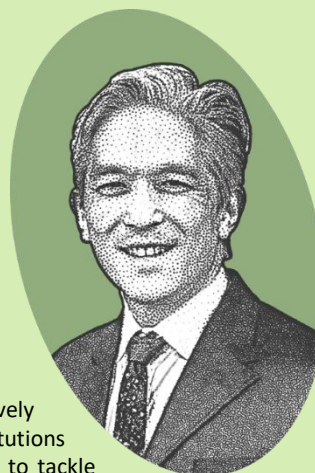




:: RISK MANAGEMENT
 :: BALANCE SHEET
 :: DIGITAL ASSETS

Rodney SW.

Rodney SW. is a highly experienced Risk Manager with a proven track record in Digital Assets, Banking, and Trading. His expertise centers on optimizing risk-taking, achieving profitability goals, and ensuring regulatory compliance. Notable achievements include transforming governance at a troubled digital asset startup, reducing peak regulatory risk capital requirements for a major Broker Dealer, and pioneering a new Asset-Liability framework and originating new products for wealth management enabling increase in Return on Assets by over 1%



In addition to his professional achievements, he is actively engaged in academia, teaching Finance at prestigious institutions and contributing to industry advisory boards. His ability to tackle complex challenges and drive transformative change is a testament to his commitment to enhancing profitability, managing risks, and meeting regulatory expectations within the financial sector. He brings a wealth of experience and a strong track record of success to any organization seeking strategic risk management leadership.

Industry Experience

Columbia Engineering Adjunct Professor	2016–Present
NYU Courant Institute Of Mathematical Sciences Adjunct Professor	2014–Present
Celsius Chief Risk Officer	2021–2023
Morgan Stanley Chief Risk Officer, U.S. Broker Dealer, and U.S. and Mexico Swap Dealers	2015–2020
Morgan Stanley Head of Market Risk, Wealth Management, Deposit-taking Bank, Corporate Treasury CRO, Trust Bank	2008–2014
Merrill Lynch Head of Market Risk, Deposit-taking Banks	2000–2008
Deutsche Bank / Bankers Trust Methodology Derivative Counterparty Credit (CVA)	1999–2000
Bankers Trust Company Market Risk Manager Private equity / distressed debt investing	1992–1999
Goldman Sachs HF Strategies Trading Analyst	1988–1990
National Security Agency Mathematician Cryptanalyst	1985–1988

Education

Cornell Master of Business Administration	1990-1992
Harvard University Bachelor of Art, Biology	1981-1985

Areas of expertise

Risk Management Governance:

- + Enterprise-wide Risk Management, Risk Governance,
- + Market Risk, Credit Risk, Liquidity Risk, Operational Risk.

Cryptocurrencies:

- + Risk Management of Margin Lending, DeFi, Perpetual Swaps, CeFi, Bitcoin Mining.

Broker Dealer, Swap Dealer:

- + Broker Dealer and Security-Based Swap Dealer regulatory rules and risk capital,
- + Trading risk limits.

Asset Liability Management:

- + Investment Portfolio Risk Management, Deposit-Pricing Modeling,
- + Interest Rate Risk of the Banking Book.

Regulatory Compliance:

- + Dodd-Frank, Recovery Resolution Planning,
- + OCC, FDIC, SEC, FINRA, CFTC, NFA, UDFI regulation.

Keywords:

Risk manager, digital assets, cryptocurrencies, Decentralized Finance (DeFi), automated market making (AMM), banking, trading, regulatory compliance, governance, fintech, Chief Risk Officer (CRO), market risk, credit risk, liquidity risk, operational risk, counterparty risk, financial management, risk mitigation, regulatory requirements, recovery resolution planning, asset liability management (ALM), deposit pricing, strategic acquisitions, mortgage origination, mortgage pipeline, broker dealer, swap dealer, central counterparty clearing, futures commission merchant, Office of the Comptroller of the Currency (OCC), crypto, risk management, trader, Industrial Loan Company, enterprise risk management (ERM), risk management of margin lending, perpetual swaps, centralized finance, bitcoin mining, regulatory rules, risk capital, trading risk limits

[NOT RETAINED]