



8OF9

## Alexander Appugliese, J.D.

Senior Regulatory Consultant

### Executive Summary

- Project leadership/management skills, regulatory compliance expertise, experience in data governance, regulatory project experience, acute attention to detail, as well as working knowledge of the financial and other regulated industries.

### Relevant Experience

- FINRA 4210 Compliance January 2018 - Present  
*Workstream Lead*
  - Manage and facilitate strategic efforts for the migration of securitized products from a US entity to a Foreign Banking Organization (FBO) by organizing and prioritizing the efforts of front office, middle office, back office, general counsel, and client onboarding.
  - Identify and resolve data inconsistencies.
  - Design business processes and supporting documentation leading to the execution of Master Securities Forward Transaction Agreements (MSFTAs) for compliance with FINRA 4210 margin requirements.
  - Develop and maintain reports for various stakeholders identifying appropriate project prioritization, potential project risks, and key performance indicators (KPIs).
  - Aggregate, analyze, and reconcile both financial and legal data to facilitate the creation of MSFTAs, MRAs, CUMRAs, and ACAs.
  - Perform periodic risk assessments and gap analyses for BAU processes and regulatory changes.
  - Monitor the flow of information from trade execution through settlement and on to collateral management to ensure margining is correct and compliance with various laws and regulations.
  - Enhance data extracts with data from multiple other internal systems for use by all project stakeholders.
  - Eliminate bad data and produce usable data for scoping, prioritization, status management, identifying data inconsistencies, reporting, and answering questions from all departments.
- Regulation W Compliance September 2017 - December 2017  
*General Counsel*
  - Ran control checks and tested logic of internal systems to ensure compliance with Regulation W.
  - Created outline of Regulation W implementation procedures and explained complex legal concepts in simplified terms to senior management.
  - Perform periodic risk assessments and gap analyses.
  - Analyze, research, and prepare decks on various compliance regulations for high level stakeholders.
- NYC Program on Finance & Law August 2017 - December 2017  
*Participant*
  - Exposure to current industry practices, products and procedures in financial regulation; projects included restructuring a company for bankruptcy, analyzing various companies for potential M&A opportunities, presenting information to legal professionals about marketplace lending, securitization, and consumer protections.
- Celant Innovations 2016  
*Legal Intern*
  - Examined SEC filings on EDGAR focusing on debentures and indentures.



8of9

- Gathered data and wrote algorithms to assist in creation of legal, financial, accounting programs.
- Updated and adapted the terms of use for new products.

8of9 Nationstar Mortgage 2012 - 2013  
*Treasury Accountant*

- Solved unique problems created by new accounting laws and regulations during a period of high growth for the company. Analyzed processes over multiple projects and developed new processes to improve quality.
- Acted as a control for several departments to ensure operations were accurate and appropriate.
- Conducted daily audit of several accounts, over 1,000,000 loans and resolved emerging issues.
- Designed and maintained reports distributed to lending banks to meet loan covenants.
- Acted as intermediary between treasury and accounting to ensure money flows correctly.
- Reconciled various accounts for team members to meet strict month end deadlines.

### Skills

- 8of9 SAP, Swift, Microsoft Dynamics, Lotus Notes, LexisNexis®
- 8of9 Advanced Excel, pivot tables, v-lookup, macro creation; Intermediate MS Access and SQL
- 8of9 Project Management, including Agile and Waterfall
- 8of9 PowerPoint Projects, Steering Committee Decks, Statement of Work

### Education

- 8of9 8of9 Executive Training Program
  - Recovery and Resolution Planning, CCAR, AML/KYC, FATCA, Basel, ISDA, FATCA, Basel and more. Training in Credit, Legal, Audit, Compliance, Operations, Onboarding and Collateral Management
- 8of9 J.D., SUNY Buffalo Law School, May 2017
- 8of9 B.A., Texas Tech University, December 2008