Aaron Heisler, M.B.A.

Chief Operating Officer

Financial Services; Global Regulations; Recovery and Resolution Planning; CCAR; Financial Modeling; Data Management

Executive Summary

- Recognized financial services expert with extensive experience successfully:
  - Initiating, building, managing and delivering large-scale international programs for global systemically important financial institutions;
  - Responding to regulatory demands including managing regulator exams, implementing new regulations, addressing critical feedback, and actively participating in collective industry initiatives;
  - Managing relationships with numerous global parties working to deliver solutions for the "Too Big to Fail" challenge faced by the financial services industry; and
  - Developing and managing innovative technical solutions to address complex problems across multiple industries.

Relevant Experience

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  Chief Operating Officer
  - Advised institutions including financial institutions, technology vendors, and regulators across a variety of regulatory-related topics including business migrations, QFCs, regulatory strategy, application of technology to solve operational and technical challenges, and data transformation programs
  - Managed teams of consultants delivering engagements to meet critical business and regulatory programs across multiple institutions
  - Developed and expanded relationships with existing and new firm clients
  - Managed day-to-day operations of the firm including: recruiting, staff management, training, product development, finance, and marketing.
  - Executed strategic activities for the firm including: implemented new organizational structure; found, negotiated, and transitioned to expanded offices; developed a 5-year strategic plan; developed pro-forma projections; implemented title hierarchy and promotion process; hired strategic product development resources; launched first Regulatory Data product; and developed the firm's product roadmap.

- Ernst & Young October 2016 – January 2018

  Transaction Advisory Services – Restructuring, Senior Manager
  - Led the financial reorganization of a bulge bracket bank's capital and intra-company funding flows including responsibility for all related activities including: governance, legal, operational, technological, financial, and reporting elements of the transition. In total approx. $120 billion in assets were transferred.
  - Supported a bulge bracket bank's development of a proof-of-concept for a quantitative financial distress/dissolution projection model.
  - Coordinated the contract reviews done by a bankrupt municipality to ensure that all material contracts fully adhered to legal and market parameters.
  - Led the development and submission of numerous proposals for potential client engagements.
  - Supported the development of a FinTech practice within the Transaction Advisory Services group including establishing relationships with FinTech companies, mentoring at incubators/accelerators, presenting at internal and external events, and developing thought leadership.
  - Held leadership roles on internal steering committees and working groups on topics including innovation, employee development, employee engagement, and business development initiatives.

- Credit Suisse May 2013 – May 2016

  CFO, Recovery and Resolution Office

  Vice President, Americas Program Manager, Recovery and Resolution Plan (October 2013 – May 2016)

  Vice President, Americas Project Manager, Recovery and Resolution Plan (May 2013 – October 2013)
  - Led the update of the Americas portions of Credit Suisse's 2014, 2015, and 2016 Recovery and Resolution Plans including detailed information across legal entities, business lines, critical operations, business functions, and resolution analysis.
  - Managed stakeholders at all levels including Program Sponsors (CS Americas CFO/COO), a Steering Committee of senior MDs, and dozens of contributors throughout the bank.

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- Hired, trained, managed, and mentored a team of consultants and contractors (variable - peaking at 35 resources).
- Coordinated answers to regulator queries by collecting relevant data and information, strategizing responses, and preparing senior executives to present.
- Developed, presented, and obtained consensus for critical decisions from global RRP Design Authority consisting of senior executives including regional CFOs and COOs.
- Created, reviewed, and presented full slate of program materials to relevant management and governance forums.
- Led numerous process improvement projects including the reengineering of the update process for global booking tables and the transfer of ownership of physical assets between entities.
- Managed the significant enhancement of the US portions of the 2015 RRP based on critical feedback from US regulators.
- Managed consultants, external counsel, executives, and SMEs in the development of 2013 submission content for new regulatory guidance including interpretation, information/data gathering, and production of charts, tables, and narrative; specific focus on reliance on financial market utilities, counterparty actions, and global interconnectivity.

Vice President, Program Manager – Global Financial Market Utility Program (July 2014 – May 2016)

- Initiated and led a full-scale program including organizational change, strategic technology implementation, engagement with peer financial institutions to address industry challenges, and direct negotiation with regulators.
- Hired, trained, managed, and mentored a team of consultants and contractors (variable – peaking at 25 resources).
- Deliverables included: target operating model, gap analysis, and implementation plan; technology business requirements; analysis and ratified framework for implementation of alternative providers of key FMU services; and significantly expanded RRP chapter.

Purple Key, Inc./Lela.com April 2012 – May 2013

Director (January 2013 – May 2013)

- Took over management of the Data Research Team.
- Contributed key analysis, insights, and planning to the pivoting of company strategy from a Business-to-Consumer model to a Business-to-Business model as part of the company management team.
- Created production management framework and metrics to plan and track the work done by the Data Research Team.
- Managed the updating of matching algorithms and key dynamic data for the 27 released consumer product categories.
- Liaised with first B2B partner as Lela Content Specialist articulating algorithm/product functionality and managing relationship; successful launch in May 2013.
- Developed requirements for integration with B2B partner, managed execution of required data development, and worked with programming team to test and implement integration.
- Led RFP evaluation process for Master Data Management (MDM) platform for purchase as critical component of strategic infrastructure.

Process/Business Architect (April 2012 – December 2012)

- Responsible for providing strategic vision and direction for scaling the data side of the business by partnering with the Data Research Team and the Data Technology Team.
- Redesigned the core matching algorithm utilized by Lela.com to add additional levels of depth and flexibility.
- Assisted with setting company strategy and aligned operational processes to support strategic objectives.
- Designed processes to integrate, cleanse, and utilize large data sets systematically (CNET, affiliate offers, internal proprietary research); provided requirements; managed development; testing; and rollout.
- Analyzed large data sets for data quality across numerous factors such as consistency, distribution, and population.
- Production managed the rollout of 20 new consumer product categories (post research) including scheduling, resource allocation, tracking progress, testing, and bug fixes.

- Managed 2 direct reports and 5 indirect reports including 2 data architects, 2 business analysts, a developer, and 2 interns.

Credit Suisse August 2007 – April 2012

Investment Bank, Reference Data Change Program

Assistant Vice President, Project Manager – Client Reference Data (February 2011 – April 2012)

- Led a team of consultants that delivered an as-is assessment of front-to-back Client Reference Data including process flows, system inventory, and analysis of current state including short-, medium-, and long-term opportunities; many of these were executed including the reorganization of approximately 250 employees into the newly created IB Reference Data Dept.
- Managed stakeholders at all levels including a Steering Committee of senior MDs, a working group of Client Data SMEs, and additional individuals throughout the bank.
- Created, reviewed, and presented status updates, dependency matrices, presentations, and numerous program documents.
- Represented the IB Reference Data Program on Steering Committees for related projects and departments.
- Contributed to the Program Roadmap, Target Operating Model design, and Business Case for the IB Reference Data Program.
- Developed a Business Process Reengineering Book of Work including gathering information for initial project scopes, prioritization of projects, and resource allocation.
- Managed the Strategic Client Hierarchies Project including initiation (scoping, timeline, budget, stakeholder sign-off), collection of relevant artifacts and information, and development of requirements.
- Managed the Client Reference Data Entitlements Project including initiation, discovery phase, development of requirements, and obtaining appropriate sign-offs from IT Risk and Compliance.
- Hired, trained, mentored, and managed a team of full-time employees and external consultants.

CFO, Product Control, Fixed Income Division - Emerging Markets Group

Assistant Vice President, Product Controller (January 2010 – March 2011)

Product Controller (January 2008 – December 2009)

- Controlled Latin American Derivatives flow books (GMV > $16 Billion) covering P&L, Balance Sheet, and Risk controls.
- Calculated required liquidity provisions for all non-Brazil EMG Americas derivative positions.
- Managed the derivative counterparty credit risk for all non-Brazil EMG Americas including verifying counterparty exposure calculations, application of credit default curves, and provision calculation; Liaised with Credit Risk Management, Trading, Accounting Policy Group, and Management to properly manage credit concerns, defaults, and restructurings.
- Designed SOX control tests and performed testing/signoff across various processes such as FOBO reconciliations, account signoffs, and provision calculations.
- Built Latin American price testing yield curves and price tested all positions in books controlled.
- Coordinated projects and collaborated with relevant parties (Middle Office, Modeling Group, IT, Trading, Operations, Settlements, and Risk Management) on migrations of trading positions due to: consolidation of risk; adoption of new valuation models; implementation of new trading platforms; and consolidation of positions across legal entities.
- CFO 2009 Team Award - Resolved outstanding historic cash breaks (GMV > $200 Million).
- CFO 2008 Team Award - Served as primary NYC representative for 20+ controllers that performed production parallel testing for global system elimination and performed comprehensive UAT testing.
- Managed and trained junior team members, a summer analyst, and a full-time rotational analyst.

Structured Trade Review (STR) Specialist (August 2007 – December 2007)

- Analyzed Complex Derivative Structured Trades and developed comprehensive documentation for these transactions including summarized trade details, trade diagram, analysis of accounting treatment, analysis of booking methodology, analysis of valuation methodology, and reconciliations of trade details throughout firm's various systems and departments.
- Initially hired to complete STR documentation, but after 1 month was put in charge of the project that successfully addressed the entire backlog of EMG STRs (300+) plus current STR inflows by Dec 31st deadline.
- Trained and managed the other EMG STR Specialists (5).

Skills

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- Microsoft Word, PowerPoint, Project, Visio, SQL, dtrules, and Excel (Macros, Pivot Tables, and VBA); Lean/Six Sigma Green Belt certified.

Education:

- M.B.A., Concentrations in Finance & Marketing – Baruch College, Zicklin School of Business, 2007
- B.A., Theater – Marymount Manhattan College, 2002