

# SOHO SQUARE SOLUTIONS

SERVICE OFFERINGS

# SOHO OVERVIEW

## Business Overview

- Specialized global experts on financial regulatory & compliance, business analysis, project Implementation and delivery for Corporate and Investment Banking, Asset management clients especially FBO.
- Firm headquartered in New York with consultants throughout the world including New York, California, Mumbai, London and Dubai
- Recent engagements on IHC, CCAR, Dodd Frank, Volcker, FATCA, EMIR.
- Emphasize on Implementation and delivery as well as strategic advise.
- Our resources are “roll up your sleeves” experts known for working alongside our clients and regulatory bodies to help them tackle their biggest challenges and organizational changes

## Services

- Finance Regulatory & Compliance Consulting
- Technology Strategy
- Programme Management/ Governance
- Implementation roadmap and Delivery

## Geographic Profile



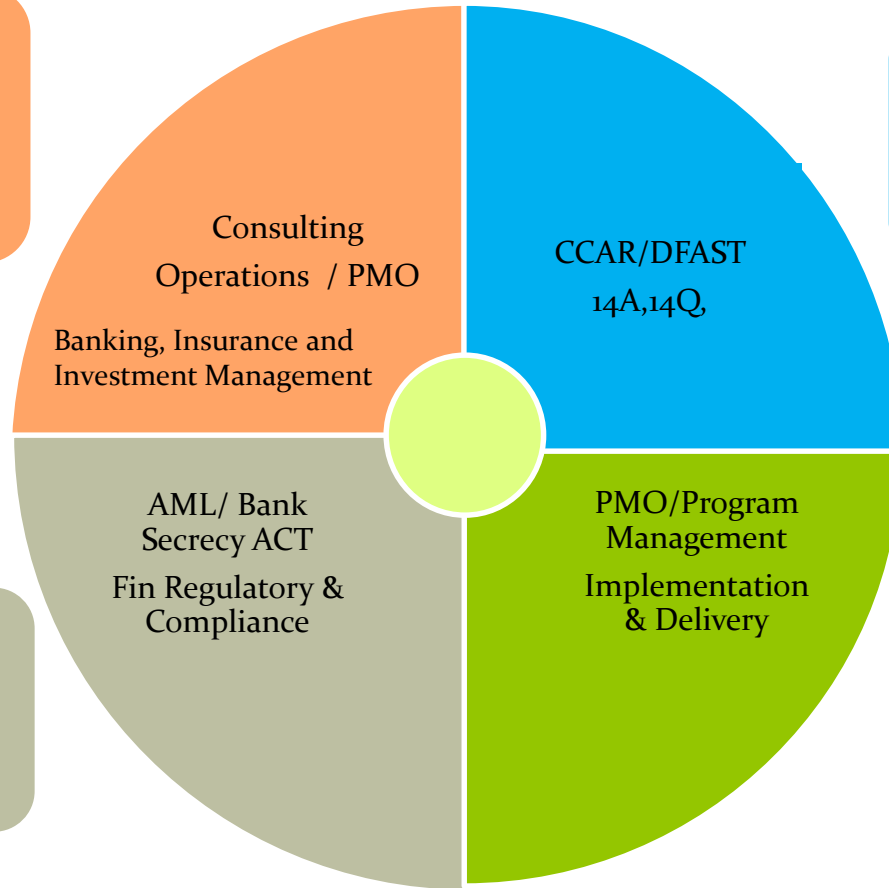
## Industries

- Financial Services
- Public Sector
- Retail
- Healthcare

# FINANCIAL SERVICES CAPABILITIES

Our professionals provide a broad range of financial services solutions with a focus on the Investment Banking and Investment Management sectors.

- ✓ Program Managers, Business Analysts and Project Managers
- ✓ Business Intelligence, Data Analysts, ETL Platforms
- ✓ Risk, Controls & Compliance analysis
- ✓ Ops, Tech Strategy and Transformation SME



- ✓ External Business Conduct
- ✓ Seg IM
- ✓ EMIR
- ✓ Pre & Post Trade reporting's
- ✓ Financial Risk Management

- ✓ Intermediate Holding Company
- ✓ Market Abuse
- ✓ Trade Surveillance
- ✓ AML/OFAC/FCPA reviews
- ✓ Financial Regulatory reporting

- ✓ Financial Data Repository
- ✓ CCAR/ DFAST
- ✓ OFSAA
- ✓ Algorithmics

# SERVICE COMPETENCY

- » Programme Management / PMO
- » Project Management
- » Business Analysis
- » Systems Analyst, Data analysts
- » ETL – Data Quality, Data Integrity
- » Business Intelligence - Reporting
- » Implementation & Delivery
- » Support

# SOHO ENGAGEMENT FRAMEWORK



Phase 1	Phase 2	Phase 3	Phase 4
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- Onboard Project team
- Set up logistics
- Set up reporting & communications
- Create templates
- Confirm meetings
- Confirm interview schedules

- Analyze current models
- Assess internal environment
- Analyze current processes
- Analyze current technologies
- Analyze current pain points
- Form preliminary hypotheses on gaps

- Articulate case for integration
- Define strategic and tactical options
- Define transformation change
- Identify change management implications
- Assess organizational effectiveness to execution target strategy
- Translate into benefits and savings
- Create detailed future state processes and models
- Create future state technology framework
- Conduct workshops to refine future state

- Select execution path
- Create detailed implementation roadmap
- Define execution initiatives
- Define specific deliverable for each initiative
- Review Delivery
- Successful training handover

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## Engagement Deliverables:

- Framework and template for detailed methodology and approach
- Detailed roadmap including Gap Analysis
- Organizational outline and milestone tracking for project deliverables
- Model validation and quantitative responses
- Success training and handover

Proprietary Maturity Models for Governance, Compliance Risk, Program and Portfolio Management

# RECENT REGULATORY & COMPLIANCE ENGAGEMENTS

## Comprehensive Capital Analysis & Review (CCAR) Program

- › **Governance** – IHC Risk committee, IHC Board and Senior Management responsibilities
- › **Scenarios** – Internal and supervisory scenarios generation, content, requirements and Qualitative guidance
- › **Regulatory Reporting** - Support Global market shock scenarios, FRY-14A/Q reports and Economic Capital Stress Tests for FRY-14A
- › **Capital Plan** – Table of contents structure, Quantitative and Qualitative assessment
- › Set up models and methodologies to support **9 Qtr. projections** of balance sheet, pre-provision net revenue, credit losses, operations losses, **Credit and market RWA for FBO, PPNR Projections. Six Regression models**
- › **Lead experts in CCAR resources across finance, operations, technology, & risk team**
- › Our consultants possess hands on working knowledge with **Federal Reserve** that ensure Clients capital planning process compliance

## Intermediate Holding Company

- › Complete Analysis of **IHC structuring** options - participate and provide suggestions for implementation plan
- › Detailed mapping of US legal entities and plan and project timeline to transfer to IHC
- › Provide forward looking **quarterly pro-forma** financial statements and pro-forma regulatory capital ratios from Dec 2015 – Jan 2018

# CONTINUED...

## Dodd Frank/ Volcker Rule

- › Participating in industry discussions and, where requested represent client in various regulatory response working groups.
- › Comply with Volcker rule that elicits scrutiny over FBO with excess of 50 billion in assets.
- › Migrate repo assets from US entity to Clients Foreign entity to offset balance sheet impact.
- › Advised Fixed Income front office and coordinate with FICC, Regulatory Compliance, Client Management, Treasury, ALM and IT Operations etc.
- › Improve clients resolvability and resilience of US Operations in the adverse liquidity stress.
- › Dodd-Frank Part 43 and 46 Reporting of New Swaps

## Financial Enterprise Data repository

- › Create consolidated data warehouse across Equities, Futures and Commodities for a large client
- › Leverage FIX protocols to aggregate and normalize trade information across 20+ OMS/EMS
- › Integrate with in-house and vendor systems for customer and security referential data
- › Vendor evaluation for ULL market data providers and help with market data entitlements
- › Assist client in identifying corporate action vendors

## Special Purpose Vehicle (SPV) Integration

- › Advise and oversee client for migration of ABS from Grand Cayman SPV to New York branch
- › Work with client to identify the impact on PnL for as is, when issued and HTM trades
- › Work closely with settlement team to migrate securities from ICBC DTC – Fortis custodian to Bank of New York DTC account.

# DOMAIN / PRODUCT EXPERTISE

- » **Regulatory Reporting** – AxiomSL, Oracle OFSAA, Algorithmics
- » **Business Intelligence/ Data Warehousing** – Informatica, OBIEE, Qlikview, Tableau, Cognos, IBM Datastage, Teradata, AbInitio
- » **Front Office** – Fidessa, Portware, Charles River, K+, OMS, EMS
- » **Electronic Trading** – ION, Marketaxes, Tradeweb, Streambase, KDB
- » **Middle Office** – Oasys Domestic, Oasys Global, CTM, TOMS, Omgeo Alert
- » **Settlement System** – Broadridge, Calypso
- » **Collateral** – Algorithmics, Acadiasoft, Protocoll, MTU



# CONSULTANT - I

Former economist, investment banker and financial engineer with extensive risk modeling experience.

## Industry/professional experiences

- Aug 2014 to Feb 2015 PPNR CCAR model risk consultant for Top 5 US Bank, Consultant, Expert Advisor, New York City
- Nov-2012–July 2014 CLS Group/Strategic Risk Initiatives, Consultant, Senior Project Manager, New York City
- May-2011–Oct-2012: Deutsche Bank/Stress Test Initiative, Consultant, Senior Project Manager, New York City
- Dec-2010–May-2011: Bank of America - Merrill Lynch, Consultant, Controller/VBA Developer, New York City
- Summer 2010: Caldwell College, Adjunct Professor of Economics, Caldwell, NJ
- 2007–2009: Harvest Cart, Founder and President, Jersey City, NJ
- 2004–2006: Standard New York Securities, Vice President / Structured Products, New York City
- 2001–2004: ING, Vice President/Investment Banking, New York City
- 1999–2001: ING, Associate/Investment Banking, New York City
- 1995–1997: US Department of Commerce, Economist , Washington, DC

## Education

- 1999: MBA, Finance and Accounting, University of Chicago
- 1995: M.S., Economics, Computational Economics, University of Texas
- 1991: B.A., Political Science, U.C., Santa Barbara

# CONSULTANT - II

10+ years of experience in the Financial Industry. Working in project related to Regulatory and Risk Reporting, Finance, Accounting, and Operations. Worked on Basel II/ III, Liquidity and Collateral management, 4G/5G reporting, Implementation of Dodd Frank Act Section 165/166

## Experience:

- Currently working as Business Analyst at Barclays.
- Previous experiences include UBS, Bank of New York Mellon, Societe Generale and State Street

## Skills:

- Experience working on end-to-end IT solutions while multitasking as a Project Manager/ Business Analyst.
- Solid experience in Requirement Gathering, JAD sessions, Writing Specifications, Testing, UAT, Implementation, Issue Resolution and Support.
- Understands client's priorities and recommends options, risks and cost vs. benefits.
- Manage project dashboards, monitor budgets, change requests, issue escalations, resolutions and mitigations Excellent understanding of Capital Markets, Fixed income instruments, Bonds, Muni, MBS, CPs, Repos, Reverse Repos, Collateral, Corporate Loans, Equities, Security Lending and Derivatives (Options, Futures, Swaps)
- Experience in monitoring project deliverables for given timelines, budget and resources.
- Worked in a fast paced, challenging environment with multiple and competing priorities
- Experience capturing all aspects of Trade Life Cycle (Front Office Order Management, Trade Execution, Settlement & Clearing) through use cases & process flow diagrams.

## Education:

- 2010: MBA in Finance
- 2003: Bachelors in Engineering

# CONSULTANT - III

## Summary:

CCAR Risk Projections Program Manager – Design and Delivery of 9-Q Projection models across all RWA and Loss categories; conceptualize and deliver Data and Infrastructure solution to house and execute these models – model development, tactical solutions for dry run and strategic Go-live solutions.

## Clients

- Credit Suisse, BNP Paribas, Royal Bank of Scotland, Bank of America, Merrill Lynch, Standard and Poor's, Bunge Global Markets

## Experience

BNP Paribas, Sept 2013 – Feb 2015

- Manage projects of the US Intermediate Holding Company program as part of Dodd Frank rules; Repo Book move with its full front to back implications and analysis, Funding and Liquidity Management, Finance and Regulatory Reporting and Segregation of IM.

Royal bank of Scotland, CT

- Lead Project Management in Derivatives and Fixed Income Operations and Technology across Asset Backed Finance, Whole Loan Repo, Reverse Repo and Mortgage Backed Securities (MBS) Allocations.

Merrill lynch, NY

Standard and Poors, NY

Bunge Global Markets, NY

Merrill lynch, NY

## Education:

- MBA Finance – Spears School of Business
- BE Electrical Engineering
- Financial Risk Manager (FRM)
- chartered financial analyst (CFA)

# CONSULTANT - IV

## Summary:

- Extensive global experience in providing end to end solution to Fortune-500 institutions in financial services and banking domain.
- Dynamic leader and mentor; built and managed large team with multiple vendors and technology unit across geographic regions.
- Exceptional relationship management, delivery management, vendor management, program & project management skills
- Proven track record in budget planning, project planning, building, managing, and launching successful high profile business applications globally
- Powerful strategist, able to map creative business vision, transforming / empowering organization with the technologies, processes and strategies
- Exceptional track record in business process re-engineering, optimization, transformation and product & process innovation
- Excellent communication and presentation skill with clients and senior management

## Experience

- BNP Paribas, Sept 2010 – Feb 2015
  - Validated the strategic data sources and processes for Finance, Risk and Treasury. Evaluated harmonized data at the lowest possible granular level and reconciled against the balance sheet data utilizing bank wide organizational hierarchies.
  - Responsible for validation of proper execution of corrective action plans (CAP) for MRIs and MRAs raised by FRB (Federal Reserve Bank) and OCC.
  - Conceptualized, Designed and Architected CCAR Stress Testing Platform, Commercial Loan processing platform.
  - Helped to build Global Delivery Model in Citi's Credit Risk Organization. On boarded vendors to meet resource planning goal (Onsite/Offshore resource distribution) set by Senior Management
- RBC Capital Markets, New York, NY , Solution Architect (Consultant), Nov 2009 - Aug 2010
- Barclays Capital, New York, NY , Technology Specialist (Consultant), Oct 2008 - Nov 2009
- NYSE Euronext, New York, NY Onsite Project Manager (Consultant), April 2006 - Sep 2008
- United Nations, New York, NY , Technical Lead (Consultant), Oct 2004

## Education:

- MBA Finance – New York University
- MS Engineering Management & Entrepreneurial Finance - University of South Florida
- BE (Mechanical Engineering), IIT
- Project Management from NY University, New York City

# CONTACT US

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