

Alex Stolzka
Associate Advisor
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Alex Stolzka has been a Senior Business Manager for more than 25 years. His Compliance, Project Management, IT and Global Management experience enables him to effectively work across multiple business units. This background has led to a successful track record managing programs/projects that meet time-to-market, cost and requirement objectives. His vendor product implementation experience includes Actimize, Norkom and Mantas.

In the capital markets space, Mr. Stolzka has had responsibility for meeting balance sheet and regulatory capital targets for the Fixed Income, Equity, and Repo desks. He has an in-depth understanding of forecasting balance sheet movements, liquidity and net interest income.

Career achievements in monitoring and remediation include:

- **Foreign Affiliate Remediation:** directed a major international bank's high profile remediation of 136 foreign affiliates. Key elements included management of deadlines, resources, scope, metrics, strict adherence to policy and weekly status reports. Effort included 21 people from KYC, Compliance, front office, IT and Group Secretary.
- **Global AML Planning:** responsible for the overall planning and execution of the Institutional AML program. As Steering Committee Chair, coordinated analysis of existing AML monitoring (current state), identification of gaps between current state and regulatory requirements and proposed target operating models to program sponsor and key stakeholders. Developed overall plan, tracked progress vs. plan, communicated risks/issues and managed budgets.
- **Global AML Implementations:** directed global institutional AML implementation for the US, UK, France, HK, Canada and the United Arab Emirates. Business lines included equities, fixed income, FX and corporate banking. Annual budgets exceeded \$3 million. Team consists of 40+ members from IT, Compliance, the business and offshore resources in eight countries.
- **Global Vendor Consolidation:** proposed and managed the migration of Norkom AML monitoring to the Actimize platform. This was the first successful major consolidation of vendor applications in the industry. Overcame local and global political objections and vested interests. Total budget \$3.5 million. Team included 25 Compliance and IT members in four countries.

Mr. Stolzka holds a Masters of Business Administration from Columbia University and a Bachelor of Science in Industrial Administration with a Minor in Metallurgy from Carnegie-Mellon University.