

# Armstrong Wolfe Partners

Business services for the Chief Operating Officer  
& Chief Control Officer communities



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**Our significant practitioner experience and focus on the COO & CCO communities, sets us apart.** We solve problems to create value, reduce risk, improve growth and maximize business efficiency and profitability.

**Let us help you.**

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### Who we are

Armstrong Wolfe Partners is a business solutions firm that is led by industry practitioners who have successful track records in managing change and run-the-bank operations across multiple regions. Importantly, our team has extensive leadership experience as COOs, CCOs, Business Owners, Infrastructure Heads and Board Directors. Given our practical hands on experience, we share your perspective and we appreciate your macro and micro concerns. We have owned regional and global programs of work - from design through delivery - and understand the impact of change on all parts of the organisation. Lastly, our previous roles have helped us develop meaningful relationships across experienced industry practitioners, service providers, regulatory bodies and industry associations, which increases the value we bring to our client engagements.

### Our Focus

Working across Capital Markets, Banking and Asset Management, we listen to our clients' concerns in an effort to help them break down complex challenges into logical solutions.

### Our Mission

To establish Armstrong Wolfe Partners as a trusted partner, so we can support our clients as they drive their businesses forward in a sustainable way.

### Our Values

- » We place our client's interests first
- » We operate with integrity and transparency
- » We are committed to excellence and innovation
- » We take responsibility for our actions

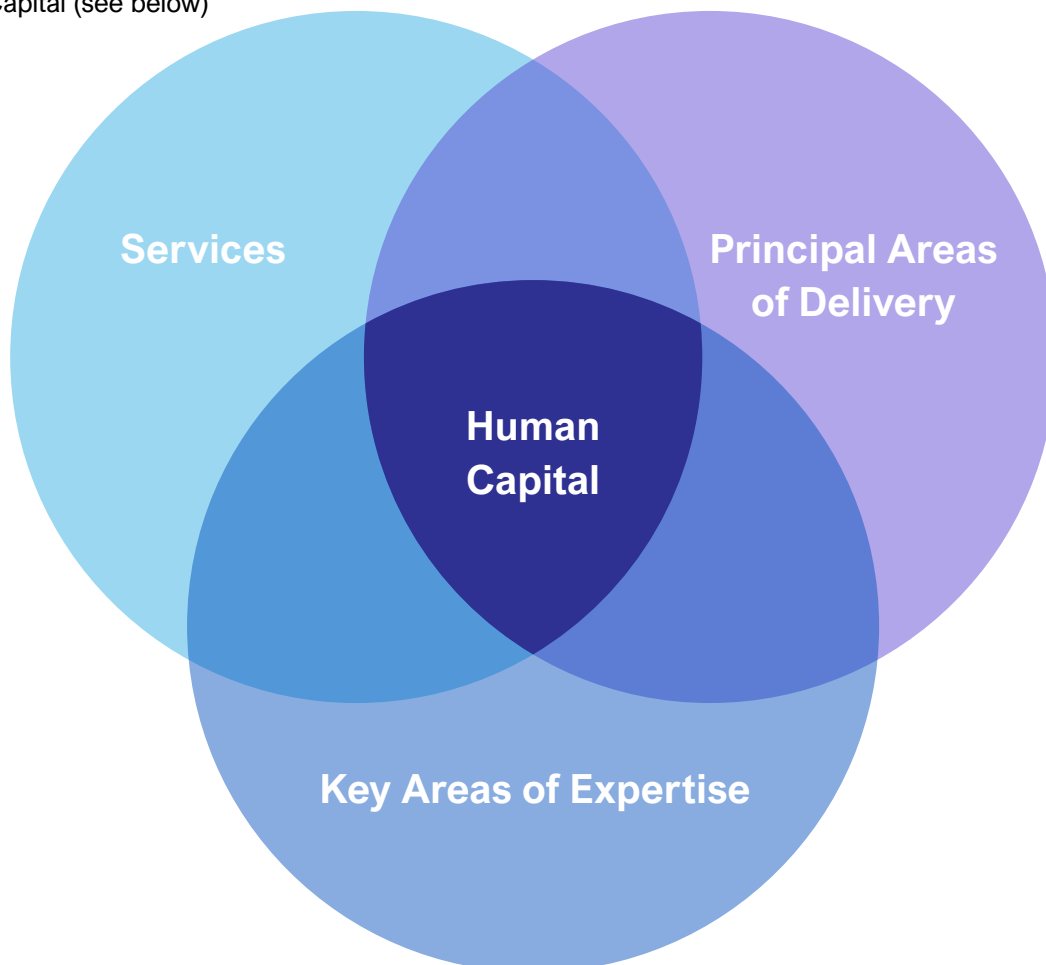


### ● Services

- Interim Management
- Staff Augmentation
- Program Management
- Target Operating Model Design and Implementation
- 1LoD Controls Design and Implementation
- Strategic Business Advisory
- Human Capital (see below)

### ● Principal Areas of Delivery

- Chief Operations Office
- Chief Controls Office
- Compliance
- Global Operations
- Client Services



### ● Key Areas of Expertise

- Business Strategy
- Governance
- Surveillance and Supervision
- Risk Management
- 1LoD Controls
- Client Engagement and Experience
- KYC & Onboarding
- Digitization and Data Transformation
- Regulatory Change and Assurance
- Outsourcing and Low Cost Location Strategy
- Investigations
- Vendor Management

### ● Human Capital

- Diversity in the Workplace (working with WCOOC\*)
- Workforce Distribution
- Organisational Design and Market Mapping
- Leadership Assessment
- **Training Modules in the following areas:**
  - Ethical Leadership
  - Decision Making
  - Presentation Skills
  - Conduct
  - 1LoD Controls
  - Business Management
  - Executive and Team Coaching



### **Larry List**, Partner

Larry is a financial market professional with more than 30 year of experience where he has served in senior COO and CCO roles primarily within global banking organizations, most recently as the Chief Conduct and Controls Officer for BNP Paribas' Global Markets Americas business. Prior positions include Fixed Income CAO at BNP and regional COO for Commerzbank where he led the U.S. integration of Commerzbank and Dresdner Bank. Larry also has valuable experience building businesses as a member of the management team tasked with setting up the U.S. Equities division at Dresdner. Larry currently serves as a strategic advisor to a fast growing RegTech company delivering advanced conduct surveillance technology and regulatory solutions.



### **Simon Longden**, Partner

Simon has over 30 years of international banking experience across Europe, Asia, Africa, and the Middle East from his career at Standard Chartered Bank. He brings an "end to end" perspective that has been gained from Global & Regional leadership roles, across Businesses and Functions, including: Operations, Client Relationship Management, Transaction Banking, COO, Business and Financial Crime remediation and Conduct & Investigations. Simon was most recently the Global Head of Shared Investigative Services which was the primary fact-finding arm of the Bank in respect of matters representing legal, regulatory, and/or reputational risk. He led a team of investigators, forensics, and product specialists, managing investigations into conduct issues, including: Whistleblowing, fraud, bribery and corruption, data leakage, and risks identified as global conduct themes.



The leading authority in banking, capital markets and asset management business solutions, cross-industry collaboration, executive search and career management for the COO/CCO community.

We leverage our global executive network to support our clients and their business partners with 5 lines of business, supported by extensive content and market commentary:

**Consulting Services for the COO/CCO:** our team of industry practitioners has extensive experience as COOs and CCOs who have owned the design and delivery of significant programmes of work and understand the impact of change on all parts of an organisation.



**COO/CCO Forums:** promoting cross-industry teamwork, partnerships and dialogue and facilitating the sharing of experiences to help meet common challenges within demanding market conditions



**Women in the COO Community:** forums and global connectivity facilitating a cross-industry dialogue amongst women in executive business management positions, thus creating a global network of senior women with a common purpose of sharing knowledge and insights.



**Executive Search:** We are recognized as an authority in sourcing high quality COO and CCO talent, as well as, resources to fill business management and other COO-related positions.



**The COO/CCO Training Academy:** providing executive coaching, one to one or group training as well as conduct training through the Conduct Academy.



ARMSTRONG WOLFE

# Find out how we can help you.

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