

**Kenneth Schlechter**  
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Tel: (516) 449-9868

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***Program/Project Management – Change Management – Compliance - Governance***

Ken is an accomplished leader with extensive financial services experience and expertise in helping organizations to become more efficient, scalable and compliant.

He has a keen ability to influence without authority, facilitate change and consistently meet deadlines through positive consensus building across complex organizations.

Ken believes there is a proper way to treat and work with people and is a proven motivator and team builder. Ken is also passionate about teaching and is currently an Ethics and Organizational Behavior Adjunct MBA Professor at NYU and the University of Dayton.

Highly effective in:

- Project Management
- Change Management
- Project Governance
- Compliance
- Project Management Office
- Thought Leadership
- Critical Thinking
- Presentation Skills
- Communication Skills

***HIGHLIGHTED CAREER ACHIEVEMENTS***

- Established and led a Change and Execution Management group in order to have key projects and compliance requirements centrally managed within the Credit Suisse Chief Compliance Office. Led efforts to ensure compliance of several regulations (e.g., UK Corporate Criminal Offence) and facilitated responses to various regulators
- Led a multi-year non-Corporate Taxation program that included: US FATCA, UK FATCA, 871(m), Financial Transaction Tax (FTT), Common Reporting Standards (CRS) and Non-Periodic Swap Payments (NPS).
- Established the Project Office at the Blackstone Group and implemented project management standards. Managed a multi-year project to re-engineer the financial accounting process after the IPO. Led the outsourcing and implementation of the Equity Compensation Plan Administration and FAS123R reporting.
- Adjunct MBA Professor of Ethics and Sustainability at NYU and Principled Organizations and Organizational Behavior at the University of Dayton

***EMPLOYMENT SUMMARY***

<b>Kenneth Michael Consulting Services LLC</b>	<b>2020 – Present</b>
<b>NYU – Adjunct Professor</b>	<b>2011 – Present</b>
<b>University of Dayton – Adjunct Professor</b>	<b>2018 – Present</b>
<b>Credit Suisse</b>	<b>2011 – 2020</b>
<b>The Blackstone Group</b>	<b>2000 – 2011</b>
<b>Morgan Stanley</b>	<b>1988 – 2000</b>
<b>Allied Irish Bank</b>	<b>1987 – 1988</b>

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## **PROFESSIONAL EXPERIENCE**

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### **Kenneth Michael Consulting Services LLC**

**2020 - Present**

**Founder**

<https://www.kmconsulting.llc/>

Provides consulting services that help organizations achieve scalable efficiency and compliance through accomplished leadership, proven collaboration, team building and facilitation through consensus. Services include: Program/Project Management, Change Management, Compliance Regulatory and Finance/Technology.

### **Credit Suisse**

**2011 – 2019**

**Chief Compliance Office (CCRO)**

March 2017 – December 2019

**Core Compliance Services: Change and Execution Management Lead**

Asked to establish and lead a Change and Execution Management group in order to have key projects and compliance requirements centrally managed and to established project management standards across the department.

1. UK Corporate Criminal Offence Regulation: Led project to ensure compliance with the HMRC
  - Due to reach of regulation, coordinated efforts across NY, UK, Zurich and APAC
  - Facilitated the documentation of current and new controls across all businesses as it related to tax evasion prevention
  - Obtained sign-off from all businesses and presented findings for overall sign-off to the firm's Executive Board.
2. Coordinated efforts across compliance to collect and consolidate responses to regulators
  - Asked to coordinated responses to numerous FRB, SEC and FINMA letters.
3. Led implementation of a new proprietary disciplinary reporting system that helped establish consistency across the firm.
  - Led team through agile development lifecycle utilizing low cost resource locations to successfully complete implementation
4. Implemented third party Trade and eCommunication Surveillance systems and processes that resulted in more effective surveillance.
  - Managed third party software company
  - Led team through agile development lifecycle
5. Implemented multiple UK Fixed Income surveillance scenarios as part of Regulator requirement
  - Worked with Swiss development team through agile development
  - Facilitated the documentation and running of test cases with UK compliance team
  - Completed updates to UK regulator in order to provide progress

### **Comprehensive Capital Analysis and Review (CCAR) Program**

May 2016 – March 2017

1. 9Q Projections Implementation Lead
  - Oversaw development and validation of 9Q projection models and management judgment approaches.
  - Developed controls around execution of models ahead of first submission to Federal Reserve Bank in April 2017.
  - Developed and enhanced the in-house platform where models can be executed in a controlled environment.

**Regulatory Taxation Program Lead**

September 2013 – May 2016

Asked to manage multi-year non-Corporate Taxation Programs.

- Managed program with an annual budget of \$20 million, 5 project managers and 30 staff/consultants across multiple workstreams: US FATCA, UK FATCA, 871(m), Financial Transaction Tax (FTT), Common Reporting Standards (CRS) and Non-Periodic Swap Payments (NPS).
- Coordinated efforts across technology, operations, tax, legal, compliance, client onboarding in order to ensure compliance with each regulation

**Lead PMO – Derivatives Regulatory Reform Program**

June 2011 – September 2013

- Established program governance to ensure accountability, identify/resolve risks and issues, \$85MM budget oversight, manage consultant relationships, assign and track work.
- Facilitated and coordinated efforts across technology, operations, public policy, shared services and the business.

**Adjunct Professor****2011 - Present****New York University School of Professional Studies (SPS)**

May 2011 to Present

Adjunct Professor: Ethics and Sustainability

**University of Dayton: MBA Program**

June 2018 to Present

Adjunct Professor for three courses: Principled Organizations &amp; Organizational Behavior (2 courses)

**The Blackstone Group****2000 - 2010****Program/Project Management Office**

Established Project Office role and implemented project management standards.

1. Managed program to re-engineer the financial accounting process after the IPO
  - Asked to lead and coordinate efforts to allow BX to be the first Private Equity firm to have an efficient monthly accounting close process in line with FAS 157 accounting standards
  - Led implementation of Investran
  - Cut financial close time by over 50%
2. Led the outsourcing and implementation of the Equity Compensation Plan Administration and FAS123R reporting.
  - Led efforts to complete a Request for Proposal and facilitated selection process with Senior Management
  - Program Lead on the implementation that included complex vesting schedules
3. Managed program to develop proprietary Private Equity waterfall models.
  - Led third party consulting firm to translate Limited Partnership agreements into business requirements
  - Worked with internal accountants and third party consultant to develop, test and implement hurdle rate models across Private Equity, Real Estate and Mezzanine funds
4. Assisted in launching several domestic and international hedge funds.
  - Worked with new Portfolio Managers, CFOs and Compliance Officers to select and implement trading, accounting and compliance systems for new funds
5. Launched mentoring program
  - Worked with Human Resources and Finance teams to establish the firm's first mentoring program

## **Morgan Stanley**

**1988- 2000**

- Reengineering and Technology Services
- Service Provider Management
- Worldwide Controller – Private Client Services
- Worldwide Controller & Director of Administration for Corporate Finance

### ***Program/Project Management***

- Completed capacity studies of all major areas within Global Asset Management Operations
- Documented work flow processes of all major areas of Operations and identified where efficiencies can be gained and risk mitigated

### ***Operations/Administration/Finance***

- Managed relationships of Fund Administrators and Custodians
- Career Development Committee Chairperson
- Administered worldwide training curriculum for employees

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## ***EDUCATION***

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Fordham University; MBA in Finance

SUNY Albany; BA – Economics

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## ***INDUSTRY KNOWLEDGE***

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- Compliance and Regulatory
- Finance/Technology
- Private Equity
- Comprehensive Capital Analysis and Review (CCAR)
- US FATCA
- Education: Business Ethics
- Equity Compensation Administration

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## ***TECHNICAL SKILLS***

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- MS Office Suite expert (Excel, Word, PowerPoint)
- MS Project
- Visio
- SharePoint
- Investran
- General Ledger systems