



MIC

MIRANDA
COMPLIANCE

MP

MIRANDA
PARTNERS

WHO WE ARE



Miranda Compliance is a consulting firm which offers comprehensive solutions along with the necessary experience to replicate risk, Compliance and Anti-Money Laundering (AML) models, successfully tested in global financial institutions, adapting to the objectives and needs of our clients.

Led by Karla Valdés and Ernesto Gómez Gallardo, who together have four decades of experience in various entities of the financial sector in global corporations, with proper expertise in the areas of Compliance, Regulatory Affairs, Financial Crime and Corporate Governance.

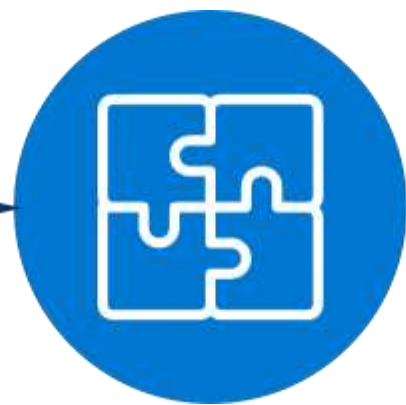
Protecting our clients and offering services of high-quality standards is one of our main objectives. Miranda Compliance (MC) advises robust Compliance & AML programs, which will mitigate our clients' exposure to fines and sanctions from regulators and will provide recommendations to strengthen the internal control environment.

WHY MIRANDA COMPLIANCE?



EXPERTISE IN THE FINANCIAL SECTOR

We are a differentiated consulting solution driven by a top grade team with broad experience in the financial industry.



TAILOR MADE SOLUTIONS

All our services are adapted to the particular needs of each client.



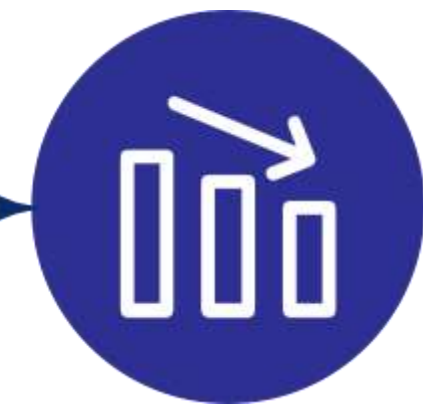
ROBUST COMPLIANCE PROGRAMS

We get to know each company in depth to provide high quality advice and robust compliance programs.



GLOBAL MODELS

We provide risk mitigation targeted advice with proven international models as references.



RISK MITIGATION

Timely identification of potential risks through auditing, which aim to reduce operational risks and suggest improvements to internal controls.

OUR SERVICES



AML PROGRAMS



KYC & ENHANCED DUE DILIGENCE



COMPLIANCE AND ETHICS PROGRAMS



TRAINING



AUDITS & ASSURANCE



REGULATORY AFFAIRS



AML PROGRAMS



1

Development of manuals and policies to implement a robust AML program

2

Compliance Officer services

3

Delivering reports to the Regulators



KYC & ENHANCED DUE DILIGENCE



1

Development of Know Your Customer policies

2

In-depth analysis of individuals, companies and investors in order to detect potential risks

3

Detailed background check analysis of employees, directors and senior members in order to detect potential risks



COMPLIANCE AND ETHICS PROGRAMS



1

Development of
Conduct & Ethics
manual for your
corporation

2

Development of
internal corporate
policies (ie: conflict of
interest, Information
security, Privacy,
Sales practices)

3

Design of
monitoring
programs to test
Compliance with
regulations

4

Advisory in the
implementation
of new
regulatory
requirements



TRAINING



1

Online and classroom trainings in compliance related topics

2

Specialized training for Senior Officers and Board Members

3

Training of several topics such as: AML, Sanctions, Corruption, Code of Conduct, Sales Practices, Data protection, Conflict of Interest, among others.



AUDITS & ASSURANCE



1

Regulatory Independent
AML Audit annual
review

2

Assurance reviews of
several topics, such as:
customer file testing,
conduct & ethics, sales
practices, among others

3

Compliance status
diagnostic for your
corporation



REGULATORY AFFAIRS



1

Attention of regulatory letters

2

Attention of inspection visits from Regulators

3

Authorization of the regulator for outsourcing services



KARLA VALDÉS POSADA | PARTNER

Karla co-founded Miranda Compliance in January 2021. She has 25 years of experience in the financial sector. Karla was Chief Compliance Officer at Credit Suisse Mexico, where she oversaw a team responsible for compliance in the Investment Banking, Private Banking, Fixed Income, Equities and Asset Management areas, as well as Financial Crime Compliance for all legal entities at Credit Suisse Mexico. She previously worked 18 years at HSBC in a variety of roles in Mexico and LatAm, including in combating financial crime and money laundering where among other responsibilities, she managed complex cases such as Odebrecht, corruption networks and shell companies. Karla is a Chartered Accountant graduated from ULSA, holds an MBA from Universidad Anahuac, as well as an international Certification of Money Laundering Prevention (CAMS) and specialization in Blockchain from MIT.



ERNESTO GÓMEZ GALLARDO | PARTNER

Ernesto co-founded Miranda Compliance in January 2021. He is a legal, compliance and internal controls professional with more than 15 years of experience. Ernesto was most recently SVP and Head of corporate governance at Citibanamex (Citi subsidiary in Mexico) where he provided leadership, coordination and oversight of governance framework design and execution strategies for the financial group. During his time at Citibanamex he participated in several regulatory matters and also certain internal investigations in very relevant cases. Before that he ran Compliance for Latin American and the Caribbean for Marsh at Marsh & McLennan, the largest insurance brokerage in the world. Ernesto has a legal background, and prior to his roles in compliance and governance was Chief Counsel at BNY Mellon in Mexico where he also served as Secretary to the Board of Directors. He started his career working for prestigious legal firms in Mexico City. He is also certified in COSO Framework for internal control in organizations.



DAMIAN FRASER | PARTNER

Damian founded Miranda Partners in 2018; he was Mexico Country Manager of UBS from 2001 to 2018, where he oversaw the 180-person local Investment Banking, Wealth Management and Equity businesses. Previously he ran UBS's Latin American Equity division, worked as Head of UBS LatAm Equity Research, and was "Number One" ranked LatAm "Institutional Investor" equity analyst for Strategy for multiple years. Prior to banking, Damian was a journalist at The Economist (economics correspondent), and at the Financial Times (Mexico bureau chief). He holds a CFA, an MPA from Harvard University, and BA from Oxford University in Politics, Philosophy and Economics (PPE).

MIR

INVESTOR
RELATIONS

MGR

GLOBAL RESEARCH
& FINANCIAL
PLANNING

MM

MEDIA & PR

MESG

ENVIRONMENTAL
SOCIAL &
GOVERNANCE

MCRA

CAPITAL & RATINGS
ADVISORY

MBD

BUSINESS
DEVELOPMENT

MDD

DIGITAL &
DESIGN

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Compliance is a
culture we can build
together.



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