

Operations Manager and Onboarding Management | Leader in Process Optimization and Financial Automation | Expert in Strategic Management and CNBV Regulation.

Ana Luisa Alvarez Escárcega

PROFILE

My leadership style emphasizes structure, precision, and collaboration to drive operational excellence. with over 20 years of experience in Market products in Operations Management, specializing in process optimization and onboarding management. Recognized as a results-oriented professional for streamlining operations, managing complex projects, and implementing innovative solutions to enhance efficiency. Proven ability to build cross-functional partnerships and lead high-performing teams, consistently contributing to achieving organizational objectives. Committed to delivering measurable results and fostering sustainable growth at both individual and organizational levels.

OBJETIVE

To secure a leadership role in Market products in Operations Management , applying extensive expertise in data quality assurance and strategic project execution. Focused on driving operational improvements, optimizing resources, and ensuring adherence to industry standards. Leveraging a proven track record in team leadership and system integration to foster innovation, enhance efficiency, and achieve long-term organizational success in dynamic environments.

EXPERIENCIA LABORAL

2022 – 2024. UBS MEXICO

Head of Operations & Onboarding – Wealth Management (Associate Director)



Responsibilities:

- Permanent member of the WM Management Committee, Local Risk/AML/Local Crisis Management Committee, actively driving decision-making processes.
- Supervise and coordinate back-office support processes for the Wealth Management business, ensuring operational excellence.
- Ensure data quality of client positions and balances, oversee advisory fee calculations, net new money tracking, and assets under management reporting.
- Direct the delivery and coordination of offshore client account statements, senior management reporting, and operational control monitoring, while overseeing payments, including payroll, expenses, and supplier transactions.
- Oversee system enhancements, upgrades, and integrations, including initiatives from WM Business and Operations.
- Collaborate on the creation of requirements for CS integration, ensuring seamless execution.
- Supervise and coordinate regulatory and external audits.
- Manage and develop a team of three professionals, focusing on career growth and skill-building.
- Led and coordinated the EE / Authorized Officer - Operations Specialist and Onboarding role to ensure efficient onboarding processes and operational efficiency.

Results:

- Successfully implemented and automated AML processes and reconciliations.
- Implementations positively impacted the operations area, benefiting the business by providing greater control and reducing operational errors.
- Consolidated and integrated Wealth Management activities into one streamlined area.
- Collaborated on the closure of the broker leader (UBS Casa de Bolsa).



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CDMX

EDUCATION

Escuela Bancaria y Comercial – EBC
Lic. Contador Publico (1995 – 1998)

COURSES

2024 Building a great team Culture- UBS.

2024 Leading through Change- UBS.

2024 Leading a Multigenerational Workforce-UBS.

2024 Ways of working – UBS

2024 Focus wellbeing and energy to drive performance- UBS.

2021 AMIB Curse Figure 3

Performance Management essentials UBS.

SKILLS

Operations Management
Process Optimization
Onboarding and KYC Management
Cross-Functional Leadership
Project Management
Risk Management
Data Quality Assurance
Strategic Decision-Making
Client Service Excellence

LANGUAGES

Spanish – Native
Inglés – C1

SOFTWARE

Office

- We successfully saved budget for new projects and maximized the utilization of resources for future initiatives.
- Directed the migration of onboarding activities into WM Operations.
- Optimized the account opening process, decreasing delivery time.

**2006 – 2022. UBS BANK MEXICIO & UBS CASA DE BOLSA
Head of Payments & Settlements - IB (Associate Director)**



Responsibilities:

- Supervise and coordinate back-office support processes for Capital Markets, Fixed Income, FX, and Payments.
- Provide cross-functional support for IB and WM payments and settlements derived from business-as-usual transactional activities through Indeval and SPEI.
- Manage inter-entity fundings to cover vendor obligations, paying agent account administration, and regulatory reporting to CNBV and Banxico.
- Oversee regulatory and external audits to ensure operational integrity.
- Monitor operational controls and coordinate enhancements and upgrades to systems and applications.
- Develop new processes for the WM model within the Investment Banking division.
- Manage and mentor a team of four professionals, supporting their career development and growth.

Results:

- Successfully implemented operational processes and created requirements for UBS Bank, enhancing efficiency and operational effectiveness.
- Authored and enforced operational manuals for UBS Bank to align with regulatory standards.
- Directed the initial integration of the OPICS system, achieving full functionality for operations processes.
- Managed the migration to a new global reconciliation system, reducing error rates in daily operations.
- Led the successful migration to a new advisory model and system implementation in 2009.
- Promoted to Associate Director in 2011, continuing to oversee payments and settlements.
- Coordinated the closure of UBS Bank in 2018, ensuring seamless execution and operational integrity.
- Directed the integration and transfer of WM clients from UBS Bank to UBS Casa de Bolsa in 2018.
- Oversaw the successful closure of WM clients in UBS Casa de Bolsa in 2023, maintaining client satisfaction and operational continuity.

2005 – 2006. HSBC, S.A. DE C.V. Management Information Lead-Investment Banking 

Prepared and presented daily and monthly performance and regulatory reports for corporate and institutional sales, ensuring alignment with HSBC's global policies. Oversaw transaction assignments, including accounting for initial amounts, interest, and coupon cuts, while managing funding for derivatives operations. Led strategic projects to optimize processes, establishing timely reporting systems that minimized financial risks and enhanced decision-making. Fostered interdepartmental collaboration through effective workflow management.

2003– 2005. Bank of America. Money Market Manager



Managed the confirmation and assignment of operations for financial institutions and investment funds. Prepared daily front office reports, monitored portfolio positions, and maintained operational controls for efficiency. Calculated instrument prices, generated Banco de México regulatory reports, and managed key financial systems such as TAS, Indeval (SAVAR, RSP), and SIAC. Streamlined Money Market Back Office procedures, reducing risks and optimizing processes. Implemented high-risk operation controls, resolved regulatory issues with Banco de México, and enhanced customer response efficiency while elevating departmental work quality and environment.

2003 Bank of America. Derivative Analyst



Worked as a Derivative Analyst, managing the confirmation of swap operations (IRS, CCY) and supporting the development of new products within the IRP system. Responsibilities included preparing regulatory reports, accounting for initial amounts, interest, and coupon cuts, as well as overseeing daily funding for derivatives operations. Achievements include integrating processes and controls to stabilize the area and creating control and reporting systems for Banco de México, enhancing operational efficiency.

2000 – 2002 Bank of America. Money Market Analyst



Overseeing the confirmation and assignment of money market operations and preparing regulatory reports (CVT, REPORTOS, OCIME, TNT) for Banco de México. Managed key financial platforms, including Indeval, SIAC, and SPEUA, while supporting activities related to the inspection of financial institutions. Achievements include stabilizing operational processes through the integration of controls and improving regulatory report preparation.