

MISSION

Bridging Financial Markets, Regulation & Institutional Development

Surex Capital LLC is an independent management consulting firm providing executive-level advisory services in institutional treasury, financial management, capital markets, quantitative analytics, banking regulation, energy markets, and public-sector financial modernization.

Led by Naveen Kalia, CFA, Surex Capital draws on more than 20 years of senior-level experience across global banking, capital markets, commodities, institutional treasury, quantitative finance, and regulatory transformation. His career includes leadership roles at Goldman Sachs, Bank of America, Deutsche Bank and TD Bank, where his experience has encompassed global markets, derivatives, structural hedging, asset-liability management, liquidity and regulatory initiatives. He has led programs within a \$1.4 trillion financial institution and previously built and led Deutsche Bank's Asia-Pacific commodities business, which generated more than \$100 million in annual revenue.

INSTITUTIONAL EXPERIENCE

Selected Institutional & Regulatory Experience

Government & Regulatory

- Federal Reserve System
- Federal Reserve Bank of New York
- CFTC
- SEC
- Bank of Canada
- OSFI
- ARRC / DTCC

Commercial & Financial

- Goldman Sachs
- Bank of America
- Deutsche Bank
- TD Bank
- Citadel
- Castleton Commodities
- First New York Securities

Experience reflects Surex's principal through prior senior private-sector roles, including employment and institutional engagements. Not a representative list of contracts awarded to Surex. ARRC and DTCC are market-infrastructure/industry bodies, not government agencies.

SERVICES

Treasury & Financial Management

- Treasury modernization & governance
- Asset-liability management (ALM) & IRRBB
- Liquidity, funding & balance-sheet strategy
- Structural hedging & funds transfer pricing
- Financial risk & resource optimization

Capital Markets & Quantitative Analytics

- Quantitative financial modeling & validation
- Derivatives, market risk & stress testing
- Portfolio & balance-sheet risk analytics
- Interest-rate, FX & commodity risk
- Capital-markets & market-infrastructure analysis

Regulatory & Public Policy

- Banking & financial regulatory implementation
- SOFR, CORRA & benchmark reform
- Regulatory impact & policy analysis
- Governance, controls & risk-framework development
- Independent technical & model reviews

Energy & Environmental Markets

- Ethanol, biodiesel, renewable diesel & RINs
- Electricity, petroleum & agricultural markets
- Carbon markets & energy-transition policy
- Energy-market design, valuation & analytics



BUSINESS STATUS

Small Business

SAM REGISTRATION

Active

UEI / CAGE

HMSEABL2EGS9 / 23924

ACQUISITION

NAICS Codes

- 541611 – Management Consulting Services
- 541618 – Other management Consulting
- 541690 – Scientific & Technical Consulting
- 541990 – All Other Professional, Scientific & Technical

PSC Codes

- D408 – Program Management/Support
- D410 – Program Evaluation/Review/Development
- R499 – Other Professional Support Services
- R507 – Economic Studies
- B547 – Accounting/Financial Management Studies

DUNS

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WHY SUREX CAPITAL

Executive Experience

20+ years across global banking, capital markets, commodities, quantitative finance, and regulatory transformation.

Institutional Scale

Led treasury, structural hedging, and balance-sheet initiatives supporting an >\$1.4 trillion financial institution.

Cross-Disciplinary Expertise

Rare combination of front-office markets, quantitative finance, regulatory and energy experience.

Independent Advice

Vendor-neutral analysis and recommendations focused exclusively on client objectives.

Boutique Delivery Model

Senior-level expertise and direct principal involvement without large-firm organizational layers or overhead.

Naveen Kalia | President | Surex Capital LLC

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