

José Raúl Plascencia Peña

Executive BIO

Managing Partner at Legal & Compliance Solutions, boutique law firm specialized in developing and executing effective strategies to mitigate legal, regulatory and operational risks, for entities in the financial, banking, insurance, Fintech and InsurTech sectors.

He was member of the Board of Directors of Assurant, responsible for establishing and maintaining the Corporate Governance, Compliance and Risk Management frameworks, ensuring compliance with regulatory and corporate standards. He performed through leadership and business approach, providing guidance to the management, implementing compliance initiatives, promoting business growth and reducing legal and regulatory risks. He previously served as Compliance Officer at Western Union, being responsible for the execution of the compliance, anti-money laundering and counter terrorism financing programs and fraud prevention for misuse of the Money Transfer Services. Began as Compliance Officer in New York Life, responsible for maintaining the compliance program in accordance to regulatory standards and parent company's program.

Over 20 years of experience in Corporate Governance, Compliance and Risk Management frameworks in global, multicultural and local enterprises. He participated in decision-making positions supporting the Board of Directors, the Executive Board, the General Manager and Officers to achieve performance, operational and financial objectives through a risk-based approach. He is passionate and committed to the profitable and sustainable long-term growth.

He earned a degree in Public Accounting at Universidad la Salle and an MBA at Instituto Tecnológico y de Estudios Superiores de Monterrey. He is Certified Compliance Officer by Comisión Nacional Bancaria y de Valores and Certified Internal Auditor by the Institute of Internal Auditors. He conducted additional studies in the Fintech and InsurTech Industry and applicable laws and regulations.



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