DOUGLAS MORA

Audit — Compliance | Software Development

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Know-how

Auditor: SOX. ICFR & ITGC. USGAAP & IFRS. PCAOB. COSO. Anti-Money Laundering (AML).
Software: Python3. Web-Dev. AWS. Mitre-Att&ck. Kali Linux. Splunk. MS Office advanced user.

CAREER

Software Developer | Independent
2020 >>
Costa Rica
- Design, programming, and deployment of Python3-based applications. Game development (Unity).
- Web development (HTML-CSS-JavaScript). Launched a GIS application to manage wildlife corridors.

Corporate Internal Auditor | Smile Direct Club *(health provider, public entity in the US)*
2019-2020
Nashville, USA
- Documented Risk and Control Matrixes (RCM), narratives, and flowcharts, for ICFR and ITGC controls.
- Feed Workiva with RCMs and other key data to handle all SOX obligations.
- Designed and performed tests of design and operating effectiveness on SOX controls (ICFR & ITGC).
- Audited the consolidated financial statements (USGAAP. Tools: NetSuite, Workiva).
- Identified control deficiencies, and assisted control owners in designing remediation plans.
- Advised control owners on evidence of control performance and process improvements.
- Coordinated root case analysis and remediation of an IT control gap linked to change management.

Global AML Risk Analyst | Citigroup *(financial group)*
2016-2019
Costa Rica
- Ensured AML compliance (BSA, FinCen, and others), engaging with global teams.
- Developed an Excel-based tool to improve production and quality metrics.

Auditor & Risk Analyst | Independent
2013-2016
Costa Rica
- Performed risk identification procedures in small and medium-sized Costa Rican companies.

Regional Corporate Auditor | Aval Group *(financial group)*
2013-2014
Colombia
- Audited banking network (operations, IT) across Central America. Reported a US$4 million control gap.
- Identified AML deficiencies. Audited the migration of a bank acquired.

Internal Auditor | Grupo Sama *(stock-market)* & La Católica Hospital *(health provider)*
2007-2013
Costa Rica
- Audited financial statements and internal controls. Ensured compliance with Sugef regulations.
- Oversaw the implementation of a web-based audit software.
- Audited processes in preparation for Joint Commission International certification.

Senior External Auditor | Crowe Costa Rica *(audit firm)*
2003-2007
Costa Rica
- Audited regulated entities. Consolidated financial statements applying IFRS & USGAAP.
- Oversaw the implementation of a web-based audit software built in-house.

EDUCATION [completed]

Ulatina Univ.: Bachelor of Business Administration (BBA)	1999-2003
Infosec: Computer Forensics Specialization Program (3 courses)	2021
Univ. of Pennsylvania: Regulatory Compliance Specialization Program (4 courses).	2020-2021
Rice Univ.: Scripting in Python Specialization Program (5 courses).	2020-2021
LearnQuest: Python Scripting for DevOps Specialization Program (4 courses).	2021
Univ. of Michigan: Python Specialization Program (4 courses).	2020-2021
American Institute of CPAs (AICPA): Blockchain Specialization Program (3 courses)	2020-2021

RELEVANT COURSEWORK		Type	Length (hours)	Brought by	Issued
Compliance	Regulatory Compliance	Specialization	24	Univ. of Pennsylvania	2021
	Building a Fraud-Resistant Organization	Course	8	AICPA	2019
	Forensic Accounting and Fraud Examination	Course	8	West Virginia Univ.	2016
	Terrorist Financing	Course	16	Basel Institute	2021
Cybersecurity	Computer Forensics	Specialization	32	Infosec	2021
	Penetration Testing and Ethical Hacking with Kali Linux	Course	20	PluralSight	2021
	Penetration Testing Automation Using Python and Kali Linux	Course	40	PluralSight	2021
	Python for Cybersecurity	Specialization	32	Infosec	2021
	Certified Information Systems Security Professional	Certif. prep.	19	Cybrary	2021
	8 Steps to Building a Modern Insider Threat Program	Course	2	Cybrary – Code42	2021
	MITRE ATT&CK Defender-ATT&CK Fundamentals	Course	2	Cybrary – MITRE	2021
Python	Python Scripting for DevOps	Specialization	32	LearnQuest	2021
	Scripting in Python	Specialization	40	Rice Univ.	2021
	Python for Everybody	Specialization	40	Univ. of Michigan	2021
	Python Pro Bootcamp for 2021	Bootcamp	90	Dr. Angela Yu – Udemy	2021
	Introduction to Programming with Python	Course	32	Austral University	2021
	Crash Course on Python	Course	32	Google	2021
	Programming Essentials in Python	Course	16	CISCO	2021
Blockchain	Blockchain	Specialization	32	AICPA	2021
Web Dev	Web Developer Bootcamp	Bootcamp	82	Colt Steele – Udemy	2021
Agile	Agile with Atlassian Jira	Course	8	Atlassian	2021
GIT	Version Control with Git	Course	8	Atlassian	2021

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Ongoing training in topics such as:
- Finance & Accounting
- Data Analytics
- Python (advanced capabilities)
- Machine Learning
- Blockchain
- Cybersecurity (Penetration Testing & Incident Response)
- SQL – MySQL – PostgreSQL
- Software Testing & Automation
- Cloud Infrastructures (Google's, AWS, Azure)

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