

DOUGLAS MORA

Audit - Risks - Compliance | Software Development

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SKILLS

Auditor: SOX, Internal Controls, risks assessment, IFRS, USGAAP, ISA, IPPF, COSO, PCAOB, AML, KYC.
Developer: Python, HTML, CSS & Bootstrap, Blockchain. Also, power user in: Workiva [SEC filings], MS Excel.
Self: Integrity. Also, analytic, problem-solving, presentation, and team player skills.

OCCUPATION

Corporate Internal Auditor. Smile Direct Club [*] SOX program and Internal Controls implementation (COSO, USGAAP). Saved US\$500 million in auditing fees. Performed SOX 404 testing. Led Workiva implementation phase, and subsequent testing.	2019-2020 Nashville, USA
Global AML Risk Analyst. Citigroup [*] Ensured AML compliance (US: BSA, FinCen, and others), engaging with global teams. Developed an Excel-based tool to improve production and quality in KYC making. Recurring best performer in Focus Team (Commercial & Investment Banking, Embassies)	2016-2019 San José, Costa Rica
Regional Corporate Auditor. Aval Group [*] Audited BAC Credomatic Network (operations and IT). Found and reported a US\$4 million control gap (SOX related). Identified significant AML deficiencies. Audited the migration of a bank acquired.	2013-2014 Bogotá, Colombia
Senior External Auditor. Crowe Costa Rica Audited regulated entities, industrial, and commercial (ISA). Implemented, trained auditors, and monitored usage of an audit software (in-house). Developed an Excel-based tool used to consolidate financial statements (IFRS & USGAAP).	2003-2007 San José, Costa Rica

[*] Public companies with stocks quoted in the US, and regulated by SEC.

EDUCATION

University of Pennsylvania: Regulatory Compliance Specialization Program (4 courses).	2020-2021
Rice University: Scripting in Python Specialization Program (5 courses).	2020-2021
University of Michigan: Python Specialization Program (4 courses).	2020-2021
The American Institute of CPAs (AICPA): Blockchain Specialization Program (3 courses)	2020-2021
Ulatina University: Bachelor of Business Administration (BBA)	1999-2003

CERTIFICATES

Cybrary: Certified Information Systems Security Professional (CISSP) [training course]	2021
Udemy-Dr. Angela Yu: 100 Days of Code – The Complete Python Pro Bootcamp for 2021	2020-2021
Udemy-Colt Steele: The Web Developer Bootcamp	2020-2021
Base Institute on Governance: Terrorist Financing	2021
West Virginia University: Forensic Accounting and Fraud Examination	2016
Atlassian: Version Control with Git	2021
CISCO: Programming Essentials in Python	2021
Google: Crash Course on Python	2021
Austral University: Python Programming Introduction	2021
MacQuarie University: Excel for Business-Essentials	2021