

## Executive Summary

Innovative Data Risk & Controls Business/Systems Analyst with 10 years of experience in a control environment establishing, implementing and auditing technology, processes, data controls and data lineage. Extensive expertise designing segregation of duties' technology for user access to high-risk applications, including rule sets, conflict identification and remediation. Disciplined business analyst with a unique background that includes; leadership skills; auditing data and RCSA controls; business analysis; business process improvement; and authoring strategies to design, build, test, and deliver database processing, reporting and automated solutions.

## Skills

- Agile and Kanban Methodologies
- Business Process and Gap Analysis
- MS Access/Office/SharePoint VBA Automation Expert
- Requirements Gathering
- Segregation of Duties' Systems/Processes
- Database Application Design – Access, SQL Server
- Stories/Use Case Documentation
- Data Risk Mgmt. Data Controls Testing
- Collibra
- User Acceptance Testing
- RCSA Control Testing
- Alteryx, Tableau, Power BI
- JIRA / Confluence Design
- RCSA
- Documentation – Visio, BPMN, Process Flows

## Experience Summary

### Insight Global – Contractor

#### Wells Fargo, Phoenix, Arizona

Wells Fargo is an American multinational financial services company with a significant global presence.

#### ***Lead Technology Business Systems Consultant (7/2022 – Present)***

##### Consumer Collections & Servicing (CC&S)

- Led Current State Analysis to retire EUC MS Access applications used within the Debt Settlement Companies and Debt Recovery Setoff processes to enable remediation of audit issues.
- Developed standard data discovery processes and documentation of data lineage for data ingestion of Collections data from enterprise source systems (Fiserv, Hogan) into a new Servicing Data Platform (SDP).
- Performed evaluation of data controls and worked with SDP developers to ensure effective controls were established for data movement and data transformations.
- Established plans and successfully executed Source to Target Data Validation for SDP data ingestion.
- Developed and implemented standard API documentation structure using Confluence for CC&S microservices and APIs.

#### **Charles Schwab & Co., Phoenix, Arizona**

The Charles Schwab Corporation is a financial services company that provides a full range of brokerage, banking, investing, and related services.

#### ***Senior Manager (5/2019 – 12/2021)***

##### Operational Risk Testing - Data Risk Management Testing & Monitoring

- Collaborated with team to successfully build the 2<sup>nd</sup> Line of Defense (2LOD) Data Risk Management Testing Program for the firm
  - Worked with business partners to understand the implementation of data risk and how those methods are applied to business unit key functions and corresponding processes, risks, and data controls captured in the firm-wide RCSA.
  - Developed testing methodologies that identify data quality control gaps across the Risk Reporting data lineages.

- Developed and implemented automation and database solutions to manage, analyze and provide reporting capabilities for Data Risk Testing and the broader Operational Risk Testing teams using MS Access, SQL Server, Alteryx, Tableau, PowerBI)
- Owned the completion of data-focused thematic, standards and control testing; performing walkthroughs; identifying control gaps along complex data lineages; and writing, presenting, and communication of results.
- Evaluated data controls thematically to validate they were designed in adherence to the DRM framework and reviewed the business unit risk reporting process to identify any unmitigated data risks, analyze the timing of control execution, and detect any RCSA documentation gaps.
- Develop scope and plan for complex thematic reviews with little supervision, preparing/reviewing work papers that clearly articulate the context and testing performed, and reporting findings and recommendations to business partners.
- Ability to meet deadlines, adapt to change quickly, and manage multiple tasks and projects.

### ***Manager (3/2015 – 5/2019)***

#### ***Business/Systems Analyst (Senior Specialist) (3/2012 – 3/2015)***

Operational Services Control – Identity and Access Management

#### ***aeSoD Application and Segregation of Duties' (SoD)***

- In partnership with Identity & Access Management, Lead Business Analyst responsible for the development of the aeSoD application to be used as the system of record for Schwab's Application-based Segregation of Duties' processes.
- Managed aeSoD software development cycles to include development of roadmaps, establishing timelines, communications with stakeholders and ensuring quality product.
- Successfully led the development and implementation of 32 aeSoD Use Cases that provided enhanced features for managing and reducing false-positive SoD conflicts, implementation of supervisory controls, standardization of data inputs, reporting and usability.
- Successfully led the implementation of aeSoD into production at the start of 2012.
- Liaison to Internal Audit responsible for facilitation of yearly aeSoD audit reviews, providing demonstrations and evidence of systems controls and processes for Segregation of Duties'.
- Successful aeSoD Review and Testing from Internal Audit without any findings for the aeSoD application from 2012-2019.
- Established SoD Attestation processes for manually remediated SoD conflicts and responsible for the facilitation of yearly attestation and reviews of the SoD Rule Set and list of Activities with VP of Operations.
- Established an aeSoD Supervisory Review and Control process for user transactions that improved controls, delivered a more proactive approach to ensuring data quality, reduced risks of misinformation within the system and provided validation that supporting processes are being followed
- Established standard for auditing of user transactions throughout the application increasing the availability and traceability of the data.
- Designed and developed aeSoD Business Objects Universe and robust suite of Web Intelligence SoD reports, used by A&E and Access Management.
- Developed the Application Information Repository (AIR) application, used by A&E as a centralized repository that provided automation and synchronization to track new-to-firm applications within Schwab's Application Portfolio Management system; managed workflow for Risk Assessment, Remediation and Application Retirement processes; managed and stored supervisory review certification data for Application Reconciliation processes and provided extensive reporting capabilities.

#### ***Client Tax & Reporting: End-User Computing Database Applications Development***

2014-2016 Provided external support to the Schwab Client Tax and Reporting organization to develop Access/SQL database applications to meet immediate business priorities.

- ***FATCA Database Application***
  - Designed and developed an Access/SQL database application to serve as an interim repository to store and manage client data related to new IRS FATCA requirements.

- Solution successfully used by W8 and Int'l Account Solutions teams for six months without issues.
- **UBTi Database Application**
  - Designed and developed an Access/SQL database application to manage and track the data for the UBTi (Unrelated Business Taxable Income) process.
  - The solution replaced a heavily manual process and resulted in a saving of 1 FTE and eliminated weekend hours.
- **Securities Reclass Database Application**
  - Designed and developed an Access/SQL database application to manage the workflow and data for the yearly Securities Reclass process.
  - Automation of a paper-based processes, and reduced process cycle time by 75%.

## **TekSystems – Contractor**

**Charles Schwab & Co.,** Phoenix, Arizona

### **Technical Business Analyst (6/2011 – 3/2012)**

Operational Services – Access & Entitlements Group

*User Access Remediation Project: Segregation of Duties' (SoD)*

#### **Project Support: SoD Application Development & Data Management**

- Designed and developed an MS Access/SQL Server based, detective Segregation of Duties' (SoD) application for the Application User Access Remediation project to centralize and manage Schwab Application/User Access data, identify potential SoD conflicts within and across Schwab's 3<sup>rd</sup>-party highest risk applications and track all aspects of SoD conflict remediation.
- Produced and distributed ongoing Application/User Access and SoD Conflict Reports to project analysts and established standards to ensure consistent and quality data.
- Designed and developed SoD Conflict and Remediation project metrics and reports for management. as needed.
- Developed and managed data migration strategies, at project closure, to enable transition to sustaining application and processes.
- Worked with Ernst & Young consultants and Internal Audit to ensure design of SoD application was SOX compliant, including logic for identification of SoD conflicts and implementation of the SoD Rule Set.
- Provided direct support to internal audit for requests for data and evidence related to the project.

## **Intel Corporation,** Phoenix, Arizona

Intel is the world's largest semiconductor chip maker. The company's products include chips, boards and other semiconductor components that are the building blocks for computers, servers, and networking and communications products.

### **Business/Systems Analyst (9/2005 – 3/2011)**

Capital, Capacity & Cost Systems Development Group

## **Education**

### **Computer Science, Bachelor of Science** (2001)

California Lutheran University, Thousand Oaks, California

### **Computer Science, Associates of Science** (1999)

Moorpark College, Moorpark, California

## **Awards**

- Charles Schwab Challenger Award - Q1 2015
- Intel – Assembly-Test Manufacturing Achievement Award – Equipment Naming Nomenclature Standardization 2008
- Intel – Assembly-Test Manufacturing Achievement Award – Industrial Engineering Capital Manufacturing Equipment Management Systems 2009
- Intel – Assembly-Test Manufacturing Achievement Award – Integration of Industrial Engineering Capital Manufacturing Management Systems with Install/Qualification Manufacturing Systems 2009
- Intel – Division Recognition Award – SAP Capital Re-Platform 2010