**Lily smith**

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**New York, NY**

**Business Analyst**

**Professional Summary:**

* A diligent and progressive Business/Data Analyst with over 8 years of experience majorly in financial institutions in domains such as Risk, Compliance, AML, Trading, Accounting, Portfolios management and Client Onboarding Process etc.
* In depth knowledge of Software Development Life Cycle process which includes Waterfall Rational Unified Process methodology (RUP) and Agile methodologies.
* Expert at driving the adoption and enforcement of Scrum rules, removing impediments and fostering self-management. Capable of bringing overwhelming enthusiasm and awareness to projects, applying expert judgment to the removal of impediments, keeping teams focused and delivering success in rapidly evolving and dynamic environments
* Active participation in discovery sessions, interviews, prototyping, document-reviews, plan setup, plan configuration with customers.
* Experience in eliciting requirements and preparing documents like Business Requirement Document (BRD), Functional Requirement Document (FRD), Software Requirement Specification (SRS)User stories and Use Case Specifications.
* Experience in conducting Joint Application Development (JAD) sessions with end users, SMEs (Subject Mater Expert) and stakeholders.
* Identify, document and model future state workflow blueprint requirements and processes
* Experienced in identifying and documenting detailed business requirements pertaining to Fixed Income Securities, Equities and Equity Trading Cycle, OTC security products, Derivatives, Wealth Management and Portfolio Management.
* Gained good knowledge on trading activities through interaction with Front office, Middle office, Back office, Corporate Actions, Straight Through Processing, Booking, Regulations, Compliance, Risk Management Group and Performance Report Teams.
* Created UML Diagrams including Use Cases, Activity diagram, Sequence diagrams, Data Flow Diagrams and ER Diagrams using MS-Visio and Erwin data modeler thus defining the Business Process Model and preparing complex functional requirement documents.
* Experienced with the procedures of Banking & Regulatory Compliances – Anti-Money Laundering (AML), Bank Secrecy Act (BSA), Office of Foreign Assets Control (OFAC) Guidance, Customer Identification Program (KYC/CIP), Basel III Accords and CCAR. DFST,BSA, US Patriot act, OFAC, SDN, RENTD, Volker Rule etc.
* Experience with data warehousing techniques like Slowly Changing Dimensions, Star schema, Snow flake schema. And worked with different data models like logical & physical model.
* Experience in Data Analysis, Data profiling, Data cleansing, preparation of scenario based data and clarification of requirements with SME (Subject Matter Expert).
* Used HP Quality Center Test Management tool/ALM, TestRail and Jira for creating and executing Test cases, Defect Tracking and Defect Reporting and HP Quick Test Pro (QTP) for functional and Regression testing.
* Experience in handling third party Vendors and offshore teams across various geographies
* Creating SQL Queries for Data Validation and Data Integration.

**EDUCATION:**

**PGDBA (Finance Accounting, Cost Accounting, Taxation)**

**Masters of Science (2005-2007)**

**Bachelor of Science (2002-2005)**

**TECHNICAL PROFICIENCY: -**

Software Tool: MS Project, Share Point JIRA, Rally, SharePoint, Subversion, MS Office Suite, MS Visio, Erwin Data Modeler, HP Quality Center (QC), IBM Cognos TM1, HP Application Lifecycle Management, ALM in Actimize, Mantas, Axiom, XML, HP Quick Test Pro (QTP), Test Rail.

**Database Technologies**: SQL, Oracle, MS Access.

**PROFESSIONAL EXPERIENCE:**

**Client: Credit Suisse NYC.NY**

**Duration: April 2016 - Present**

**Sr.Business Analyst/ Data analyst**

Goal of the project was enhancement of the existing trading system for equity and derivative securities. The system supports functions such as real time trade processing, risk analytics and reporting all in a high volume, highly scalable, distributed environment. SDLC methodology followed in this project was agile with scrum framework. The project also covered finetuning Clientonboarding processes.

**Responsibilities:**

* Served as a liaison between business and IT team, to research, analyze and validate business solutions to support the project objectives.
* Interacted with SME’s in identifying and documenting business needs and created data flow, activity diagrams, and state transition diagrams using MS Visio, and collaborated with production team to identify and map in detail existing processes, identify system gaps and developed user stories that supported overall strategy, goals and objectives.
* Worked with the ETL, QA and the BI team to help them understand the data model and helped them in preparation of Data Element Mapping (Source to Target Mapping)
* Involved in Data mapping for the sell-side Order Management System (OMS), which does pre-trade, post-trade and transform electronic communication of pre-trade and trade messages of financial instruments.
* Worked on AML trade surveillance and compliance by interacting with compliance department and SME experts in the laws/act of compliances.
* Analyzed the physical data model of securities trading system to create report mapping document.
* Coordinated JAD sessions with product owner especially with AML, Compliance and Risk team to analyze the application life-cycle, gather and define the key performance indicators.
* Was involved in extracting, analyzing, merging data from multiple internal and external sources using SQL.
* Designed, Drafted and Documentations Data Flow, RTM process with in BPM frame work with special emphasis on Change Management.
* Documented test plans and test cases and performed black box testing on the application like functional testing, smoke testing, regression testing, and UAT.
* Coordinate the UAT testing effort including (Front office, Middle office, Back office, Clearing and Booking), obtain sign off and log testing artifacts.
* Provided technical and procedural support for User Acceptance Testing. Tracked testing issues, maintained test matrix.
* Using SQL server management studio, designed various T-SQL queries to analyze the data from internal & external sources.

**Environment:** Agile -Scrum, JIRA, SQL server, TM1, MSOffice, MS Project, XML, Actimize MS Visio, SharePoint,

**Org: Orix NY**

**Duration: May 2013 – December 2015**

**Sr.Business Analyst/Data Analyst**

The goal of the project was to build a User Risk Reporting Module as a part of the Company Wide Active Trade Surveillance and AML system implementation. The project covered areas of KYC, CIP,CDD and EDD in great depth. The methodology followed for the project was Agile Scrum.

**Responsibilities:**

* Studied business needs, identified project stakeholders and their roles, recognized major deliverables and collected business requirements for the project.
* Drafted project charter, which included project goals, business case, opportunity statement, and high level timeline and team assignments for the projects.
* Extensive work on financial instruments such as Bonds, Equities, Futures, Options, OTC/ET Derivatives, SWAP, Securities, Trades, Positions, Capital Markets and CFTC regulations to determine pertinence and consequence on functionality of the implemented system.
* Acted as Scrum Team Member for Product teams with a focus on guiding the teams towards improving the way they work. Acted as a Scrum Coordinator when necessary. Assisted team to remove impediments by having an understanding on the control and release processes. Assisted with internal and external communication, improved transparency, and radiated information
* Established guidelines and parameters for the system based on currency and foreign transaction regulations like, BSA, US Patriot act, OFAC, SDN etc.
* Organized the project into phases to impose management control using stage-gate reviews such as high-level user stories, test scenarios, Dimension modeling, Data Mapping, ETL etc.
* Involved in designing and translating business abstractions to object-oriented class representations using UML diagrams.
* Played the role of Scrum coordinator which involved creation and prioritization of the Product Backlog in JIRA, coordinated Planning Sessions and maintained User Stories and Acceptance Criteria.
* Understood the AML trade surveillance compliance requirements by interacting with compliance department and SME experts in the laws/act of compliances.
* Delivered support for processing of data from sources to target data warehouse by documenting detailed ETL mapping processes.
* Managed changes to project scope using a change management procedure in coordination with Change Control Board (CCB). Provided technical and procedural support for User Acceptance Testing. Tracked testing issues, maintained test matrix, ran daily status meetings, and met the exit criteria for UAT.

**Environment:** Agile, Java, Erwin Data modeler, SQL, HP QC/ALM, Rally, JIRA, TM1 Microsoft Office suite, Share Point Oracle, Actimize, XML,Visio.

**Client:Wells Fargo NC**

**Duration: April 2012 – March 2013**

**Sr. Business Analyst/Data Analyst**

Performed financial risk stress testing and integration of model output for Dodd- Frank Act Stress Testing (DFAST) Comprehensive Capital Analysis and Review (CCAR). Used Agile Methodology extensively through all phases of the project. The goal of the project was to validate data sourced from different database and line of business to create a data mart for IHC Regulatory reporting purpose. The data was collected to file different regulatory reports including CCAR (all FR Y-14), FR Y-9C.

**Responsibilities:**

* Worked on documentation of project vision and scope, cost-benefit analysis, management of project budget and making project schedule with the Project Manager.
* Conducted and guided JAD and Brainstorming Sessions to gather Business Requirements from Market Risk Group, Risk Reporting Team and other SMEs.
* Communicated with all stakeholders and SMEs in all phases of the project, make sure the process is on the right track.
* Lead on the data sourcing effort for Retail Schedules pertaining to CCAR and the FRY 14Q reporting to FED.
* Analysis and design of CCAR (FRY 14Q Retail schedules, FR Y – 14M Loan Portfolio schedule), FRY 9C (few schedules) with focus on Liquidity Risk.
* Created and managed the project schedule, monitored the whole team to complete tasks in timely manner.
* Involved in design, analysis, testing and implementation of data warehousing.
* Performed Gap Analysis to understand the existing features and functionalities of the module, and determine new functions to be added into the new version.
* Analyzed the new regulatory requirements on market risk calculation, monitoring, reporting, and testing.
* Involved in documenting detailed Functional Requirement Specification based on Basel regulatory requirements by using Power Designer.
* Assisted the market data team to integrate data using ETL tools, and involved in implementing complex Business Objects reporting solutions
* Assisted several important teams in backing up financial projections with real data.
* Acted as liaison between database administrators and executive team.
* Conducted various stress testing followed CCAR.
* Resolved issues and conflicts between different stakeholders, found out proper resolutions to make all stakeholders satisfied.

**Environment:** JIRA, Axiom, XML, Microsoft SQL, PL/SQL, HP Quality Center, UML, MS Office Suite (Word, Excel, Power Point, Visio, Share Point)

**Client: Wells Fargo NC**

**Duration: February 2011 to March 2012**

**Business Analyst/Data Analyst**

**Project 1:** The project was designed to implement KYC/CIP across all business segments by enhancing the Security Master data. This involved Data analysis, Data cleansing, and data migration to reporting systems. **T**he project also involved integration to the AML reporting under BSA (Bank Secrecy Act) act and OFAC (Office of Foreign assets control) compliance.

**Responsibilities:**

* Facilitated user interviews, workshops and task analysis to gather requirements.
* Documented requirements and prepared the BRD then worked with the development team to translate them into Technical requirements.
* Analyze business process to ensure that; compliance with Know Your Customer (KYC) regulation is implemented in a layered approach throughout the bank’s processes.
* As per AML compliance laws the project involved preparation of CTR (currency transaction report) and SARs (Suspicious activity reports) using the Mentas Software.
* Designed checking/savings accounts, credit and loan application modules to automate compliance with KYC by requiring users to correctly enter specific customer information.
* Worked in various data environments Data Warehouse, Reference data, Meta-data and ETL to create various reports and matrices.
* Wrote SQL queries and assisted in extracting data for creating Data mapping document.
* Assisted in conducting risk assessment of projects and coordination of project deadlines.
* Conducted functional walkthroughs, UAT sessions and assisted in the development of User Guides and Manuals for customers.
* Prepared User Manual highlighting the different functionality of the module, and set focus sessions to train the business in areas like Transaction Filtration: Analytical Views & Reporting (SAR, CTR).

**Environment:** UML, Microsoft SQL Server 2008, MS Visio, MS Office, Axiom, HP Quality Center, SharePoint, TM1, JIRA, MS project.

**Client: Capital One NC**

**Duration: October 2009 – January 2011**

**Sr. Business Analyst**

The project was about integrating the current company’s fixed income trading system with the latest order management and trading settlement system.

**Responsibilities:**

* Conducted market research and analysis in Capital Markets consisting of Stock Market and Bond Market
* Researched, analyzed, gathered data defined and developed requirement specifications for Mortgage Product, Compliance and Regulation Projects and performed testing.
* Involved in Management consulting, intra-day reporting, architecture, business analysis and application development for real-time EOD reporting for hedge funds and prime brokers.
* Identified and documented improving areas to meet capital requirement regulations.
* Analyzed User Requirement Document, Business Requirement Document (BRD), Technical Requirement Specification and Functional Requirement Specification (FRS).
* Prepared and analyzed AS IS and TO BE systems in the existing architecture and performed Gap Analysis. Created workflow scenarios, designed new process flows and documented the Business Process and various Business Scenarios and activities of the Business from the conceptual to procedural level.
* Good understanding of Fixed Income, Bonds and Bond Trading Cycle, Equities and Equity Trade Cycle, Derivatives (Options and Futures), Portfolio Management, Wealth Management, and Sales and Marketing.
* Acquired extensive knowledge of financial products, services & terms during day-to-day tasks, such as - Exchange Traded Derivatives (Futures, Options, Single Stock Equities, Commodities & FX Currency)
* Created the SQL scripts for demonstrating the prototypes and for verifying the result sets
* Worked as an Interface between the Users and the different teams involved in the application development for the better understanding of the Business and IT Processes.
* Discussed with SMEs across different businesses units to gain solid knowledge of the existing Credit Risk Calculation System and assisted in preparing an advanced Risk Assessment and ROI Management.
* Generated requirements for Capital Markets - Fixed Income Investment Management Business, Portfolio Management, Hedge funds, corporate actions, Brokerage and Trading Model within the scope of both the Front office, Middle office and Back Office operations.
* Followed the UML based methods using MS Visio to create Use Cases Diagrams and Activity Diagrams,
* Worked extensively with the QA team for designing Test Plan and Test Cases for the User Acceptance Testing.
* Conducted UAT to confirm that all derivative products can successfully processed during the trade life cycle

**Environment:** RUP, Rational Rose7.0, UML, SQL, Oracle, IBM Cognos TM1 MS Project, MS Visio , SQL server, Net, WebLogic, UNIX, HTML.

**Client: Associate Bank GreenBay Wisconsin**

**Duration: August 2008 – September 2009**

**Business Analyst**

The project involved re-engineering the portfolio management system. The system allowed the user to get a view of comprehensive account summary, which displayed the portfolio value, cash balance and securities held in the accounts.

**Responsibilities:**

* Understood fixed income, equities & derivatives trading cycles, securities clearance and settlement process.
* Conducted market analysis and feasibility studies, and assisted the project manager in development of project plan.
* Performed detailed research on their existing financial transaction process and reporting methodologies.
* Interacted with Portfolio managers, Risk managers, financial analysts, traders and other Subject Matter Experts for requirement elicitation through various methods like and scheduled interviews, user meetings, walkthroughs and JAD sessions.
* Modeled and reviewed all current operational data structures and recommend optimizations and reconfigurations to Data Architects for implementation.
* Participated in the development and maintenance of, and adherence to, corporate data architecture, data management standards and conventions, data dictionaries and data element-naming standards.
* Documented detailed functional and technical specifications based on agreed solutions.
* Supported development of the business solution as part of the technical team. Worked with DBA to support migration of applications from Development to Test to Production
* Worked with management to identify issues and risks that may have an effect on quality or delivery from a technical, business and end-user perspective.
* Evaluated and estimated the work effort required to meet a desired deliverable.

**Environment:** RUP, J2EE, MS Word, UNIX, Windows XP, SQL Server, XML, Visio,