Tejendrasinh Gohil
CIA, CISA, CSC, CISSP/ CPA- Actively Pursuing

Tel: (647) 947-3093 | tgohil23@outlook.com | https://www.linkedin.com/in/tejgohil/
Portfolio Website: https://tgohil23.github.io/Professional_Case_Repository/

AUDIT AND RISK ADVISORY PROFESSIONAL OFFERING   EXCEPTIONAL EXPERIENCE WITH Protiviti, PwC LLP, KPMG LLP AND GRANT THORNTON LLP

CAREER PROFILE & OBJECTIVE:

- CPA (Actively pursuing), CIA and CISA with extensive years of work experience in Risk advisory services.
- Demonstrated expertise in performing risk based Internal Audits, Enterprise Risk Management ERM), internal controls reviews, Process automation, IT audits, Compliance review, third-party risk assessments, COSO, Enterprise Risk Management (ERM), Regulatory compliance, SOX Compliance, SOC-1 & SOC-2 reports, IFRS, developing MIS framework, Internal Financial Control (IFC) framework, Standard Operating Procedures (SOPs)
- Enjoys new challenges and has received Client appreciation through leading initiatives and timely completion of assignments at in person locations in Israel & Africa and remote locations in Canada, USA, Singapore, Poland and India.
- Proven track record of working in heavily regulated environments, including financial services. Mentored Internal-Audit teams as Advisors and Solution providers from the current role of faultfinders.
- Excellent communication, analytical, interpersonal, leadership and presentation skills; expert at managing multiple projects simultaneously.
- Familiar with current industry standards, such as SOX, ISO, IIA's IPPF, COBIT, COSO – ERM, IFRS, US- GAAPs

WORK EXPERIENCE

Information Technology Auditor (Contract)   **October 2025 – Present**
Sun Life

Engaged as a specialized independent consultant to support a high-impact, year-end ITGC and ITAC assurance program for a major Canadian financial institution. Operated with full autonomy while reporting directly to the Director of IT Audit and delivering audit-ready results under accelerated timelines.

- Led comprehensive ITGC and ITAC audit execution, assessing IAM provisioning/de-provisioning, privileged access governance, change management, application configuration controls, batch processing, and automated validations across core insurance platforms; built and updated Risk & Control Matrices (RCMs) capturing key risks, controls, assertions, and testing procedures aligned with SOX/CSOX and COBIT.
- Reviewed production, backup, and recovery processes, validating DR readiness, backup retention, restoration evidence, system failover configurations, and operational resilience controls in alignment with OSFI standards.
- Assessed vulnerability management lifecycle, including patch governance, SLA adherence, critical vulnerability escalation, and remediation backlog management using supporting tools.
- Evaluated penetration testing remediation, verifying closure of critical findings, mapping risks to control requirements, and ensuring alignment with enterprise cybersecurity policies and regulatory thresholds.
- Performed independent design and operating effectiveness walkthroughs with system owners, cybersecurity leads, infrastructure architects, and application SMEs, collecting audit-defensible evidence, coordinating evidence requests, providing regular status updates, and supporting quality reviews.
- Assessed Agile/DevOps change processes, including user stories, deployment approvals, code migration sequencing, SoD enforcement, and emergency change governance.
- Produced high-quality, re-performable workpapers with minimal review notes, demonstrating precision, audit traceability, and compliance with SOX, SOC, OSFI E-21/ B-13, and NIST-aligned standards; guided junior auditors when required.
- Identified systemic control gaps, drafted clear observations, completed risk and impact analysis, and supported management in developing and tracking remediation plans through closure.
- Strengthened year-end audit readiness by improving evidence completeness, documentation quality, and linkage between control objectives, system dependencies, and financial reporting assertions.
- Produced re-performable workpapers with minimal review notes, reducing Director review time.
- Identified and documented critical control gaps in IAM, change management, and vulnerability remediation, supporting management in tracking high-risk findings to closure.

Senior Information Technology Auditor / IT Auditor   **December 2024 – February 2025**
TD Bank Group (The Toronto-Dominion Bank)
Note: Role paused in Feb 2025 due to temporary permit expiry. Fully reauthorized as of July 2025 — valid through 2028.

- Led the independent evaluation of information systems critical to Anti-Money Laundering (AML) and Anti-Terrorist Financing (ATF) compliance across the enterprise, ensuring adherence to regulatory requirements including FINTRAC, OSFI, PIPEDA, FATF, and the PCMLTFA, in alignment with COBIT for IT governance and COSO for risk management.
- Conducted testing of technology systems to assess the design and effectiveness of system controls within AML solutions, such as customer risk rating, onboarding, screening, and regulatory reporting, ensuring compliance with relevant standards.
- Assessed data integrity controls for AML/ATF processes, ensuring the completeness and accuracy of complex data processing routines, ETL, and data transfer solutions, in compliance with ISO/IEC 27001, PIPEDA and GDPR, Payment Card Industry Data Security Standards (PCI DSS).
- Performed technical IT systems compliance assessments focusing on IT general controls (incident/change/access management, backup/retention, and disaster recovery), ensuring systems adhered to ISO/IEC 27001 and maintained the core principles of the CIA triad (Confidentiality, Integrity, Availability).
- Issued detailed reports on risk-rated findings to all key stakeholders and to ensure adequate test coverage and risk-based decision making were taken into account when planning test scopes and objectives
- Collaborating with key AML process and technology stakeholders to ensure adequate test coverage and risk-based decision making were taken into account when planning test scopes and objectives
- Worked closely with Technology and Business partners within Compliance to prepare them for automation of internal processes in a safe and secure manner.
- Providing mentorship by walking new team members through technology solutions across the enterprise and testing methodologies

Audit Consultant   **January 2023 – November 2024**
TjG (Toronto)

- Contributed projects focusing on the review of application systems, technology infrastructure, general IT controls, and business processes. Evaluated the design and effectiveness of controls to mitigate risks, supporting financial statements, SOC (System and Organization Controls), C-SOX (Canadian-SOX), and SOX (Sarbanes-Oxley Act) certification for clients based out of Toronto, Manitoba and Montreal.
- Led and conducted controls testing for CEO/CFO certification projects in publicly traded companies, assessing the design and operational effectiveness of internal controls over financial reporting. Concurrently managed all stages of audits.
- Participated and played a key role in conducting interviews, walkthroughs, and review the IT and business process controls; <u>after the implementation of SAP/Hana for a client.</u>
- Successfully performed walkthroughs for audit compliance at a client lacking internal controls. Identified weaknesses and effectively reported audit findings to senior management.
- Work closely with control and business owners, identifying control weaknesses, assist in formulating audit conclusions and preparing audit reports.
- Ensured audit results were gathered, root causes identified, and impacts assessed, reporting findings to management. Reviewed and edited audit reports, summarizing issues and presenting an overview of audit results to line management.

Senior Consultant – Technology Advisory   **June 2021- November 2022**
Protiviti
- Lead a team of 3-4 employees to review the invoice and payments processing for 4 group entities, which saved client costs in logistics, services, statutory dues amounting US$1 Million based on sample review.
- SOX 404, Financial Audit Support, and Internal Controls Over Financial Reporting (ICFR) audits
  - Industry experience includes - Finance (Banks and Mortgage Providers), Technology, Mining & Metals.
  - Planned, designed, managed and executed tests of design and operational effectiveness over IT General Controls (ITGC) and industry specific business processes, application controls, ERP / infrastructure / database security, and data conversion reviews applying firm's risk-based methodology and frameworks such as COSO and COBIT.
  - Successfully lead and completed 2 simultaneous assignments within delivery deadlines and budgets on internal audit and internal financial control (IFC).
  - Performed control gap assessments and implemented remediation efforts; Presented overall findings and conclusions along with suggested industry-specific best practices to C-level executives and leaders
- System and Organization Controls (SOC) Audits
  - For PCAOB clients Led several SOC 1 and SOC2 audits assessing various industry specific business processes for Software as a Service / Application Service Providers in accordance with CSAE 3416 / SSAE 16 / ISAE 3402 standards.
  - Leveraged strong understanding of SOC 1 and SOC 2 reports for proposals and business development

- **<u>ACCOLADES:</u>**
  - <u>Awarded "Above & Beyond"- Business Excellence awards for consistent outstanding performance.</u>
  - <u>Consistent performer through the tenure of Protiviti, with ratings of "2" and "3" on a 5 point rating scale.</u>

Assistant Manager – Audit / AML, Governance and Controls   **June 2019 – June 2021**
Lendingkart Finance Limited (https://lendingkartfinance.com/)
- Prevented more than <u>$100K penalties</u> by proactively identifying and rectifying compliance errors in regulatory matters.
- Enhanced adequacy and effectiveness of Lending Business Units with portfolio of around USD 11 Billion, and its Credit Risk Monitoring, Credit Administration and Loans operations.
- Provide strategic oversight and challenge over the first line of defense for the bank on all technology domains such as Cybersecurity, Identity & Access Management, Data Privacy, Third-party Risk management, Cloud Computing and Audit & Regulatory issue remediation.
- Act as a trusted advisor to the business and ensure that adequate IS risk assessments are performed for vendors via onboarding risk assessment, ongoing due diligence, SOC 2 report review, etc.
- Partnered with KPMG to review and improve the Internal Controls Framework (COSO), developing and implementing Risk Control Matrices (RCMs) in compliance with regulatory requirements. <u>Ensured effective collaboration with EY auditors</u> for financial reliability and remediation of identified weaknesses.
- contributed to the development of risk-based annual audit plan, ensuring the establishment of risk acceptances, mitigation plans, and business sign-offs, while enhancing risk governance for strategic decision-making by senior management.
- Assisted in audit planning and execution, meticulously reviewing working papers and finalizing audit reports and executive summaries. Effectively communicated findings to senior management and played a key role in developing enterprise risk management and organizational policies.
- Implementation of Risk Control Self-Assessment (RCSA/CSA) in audit assignments, established robust technology risk management frameworks, and diligently managed ISAE 3402 and SSAE 18 reports (SOC 1 and SOC 2, Types 1 and 2). Proactively identified and reported potential gaps to senior management, assisting in impact assessments and management response coordination.
- Ensured timely response and submission of requirements relating to corporate banking compliance (AML due diligence) queries. Work with the leadership team (AML Team Leads and QA) to provide feedback as defined by the engagement.
- Assesses organization-wide compliance with internal policies, data governance risks controls and procedures, laws and regulations, contractual terms and conditions, regulations and requirements, efficiency of operations, and accuracy of reporting.
- **<u>Worked directly with major partner firms like IDFC First Bank & Kotak Mahindra Bank</u>.**

Associate Consultant - Risk Advisory Service   **August 2018 – June 2019**
KPMG
- Ensuring timely and effective execution of assigned tasks, including audit, process risk assessment, process gaps and control weaknesses, root cause analysis, providing recommendations and action through reporting.
- As part of the team, I designed and implemented ICOFR and SOX frameworks, incorporating IT controls and conducting Third-Party Assurance assessments to ensure compliance with industry standards and regulations. Additionally, I conducted assessments for control implementation
- Managed risk assessment and reporting, delivering critical insights for executive decision-making and ensuring regulatory compliance across industries.
- Spearheaded the development and implementation of Vendor Risk Management policies and procedures, including risk assessments and reporting.
- Supported audit activities from start to finish, encompassing planning, risk and control.

Consultant - Risk Advisory Service   **March 2017 – August 2018**
Grant Thornton LLP

- Carried out Information security and data integrity assessment. Reviewed Access control desktop/ laptop review, password control, user access revocation, Disaster recovery plan (DRP) and backup plan.
- Acted as (PMO) Project Management Office for several Internal Audit, SOX compliance. Responsible for sharing client deliverables. The project involved review of areas such as product commissioning, warranty controls, customer complaints and resolution, monitoring of defectives and scrap management. I have also led an SOP implementation exercise for the client covering key business processes such as management of defective parts, warranty claim management, returnable merchandise authorization (RMA) management etc.
- review and monitoring of third-party engagements throughout the third-party lifecycle, ensuring compliance with TPRM Framework and regulatory requirements.
- <u>Awarded **"Super Employee" award**</u> for handling an onsite overseas project for African client where simultaneously executed 4 subsidiary company audits within tough timelines. For such work got awarded by management.

Analyst - Risk Assurance   **June 2015 – March 2017**
PwC (PricewaterhouseCoopers)
- Multiple internal audit assignments in varied industries including construction, cement, electricity, banking, metallurgy, mining, health care, education and FMCG.
- Ensured deliverables are issued within the timelines, identified cash saving opportunities, satisfying the client's requirement, preparing final report and audit committee presentations.

EDUCATION AND PROFESSIONAL DESIGNATIONS

• Certified Internal Auditor (CIA)	Nov 2023
• Certified Information Systems Auditor (CISA)	Aug 2023
• CPA	Pursuing
• CISSP	Pursuing
• Diploma in accounting - McGill University	2024
• Machine Learning Graduate, Artificial Intelligence (Stanford University)	2025
• Master's in accounting & finance (Gujarat Technological University, India)	2016
• Bachelors in Accounting & finance (HNGU, India)	2013

ADDITIONAL INFORMATION

Internal Audit | Internal Controls | Process Audit | Internal Controls over Financial Reporting | Revenue Assurance | Process Cost Optimization | Agile Auditing | Business Process Improvements | Compliance Audits | Risk Control Matrix | Risk Control Self-assessments (RCSA) | SOX Compliance | ERM framework documentation | Fraud Prevention and Detection framework | Proposals to Client-pitching and Negotiation | SOP documentation | KPI Dashboards and Scorecards | Developing MIS framework | Data Mining and Analytics | IT Audit | Risk NI 52 | Risk Registers & Risk Control Matrices | IT General Controls (ITGC) Reviews | Attention to detail | Client management | Documentation | Innovation | Critical thinking | Requirements gathering | Risk analysis | Workflow analysis | Gap analysis | ISO 27001 | Software Development Life Cycle (SDLC) | Sarbanes-Oxley 404 | Quality Assurance | Data Analysis | SOX Control Testing | Bank Reconciliation | Root Cause Analysis | Innovative and Creative Problem Solving | Keen Attention to Detail | Time Management | Resource Management | Excellent Report Writing | Communication Skill | Leadership & Team Management | Business Development | ERP implementation | Information Security and Controls Design & Assessment | Security & Privacy Frameworks (COSO,CIA Triad, AAA Framework, ISO27001, COBIT, NIST, HIPAA and GDPR) | Compliance frameworks such as SOC1/SOC2, ICFR, SOX Audit, Third Party Life Cycle | Global Third Party Risk Management | TPRM | OSFI Compliance | Relationship Building | SAP R/3 HANA | Microsoft Excel VBA | Microsoft Office Products | Risk assessment | Financial controls | Audit planning | Compliance | Governance | Risk management | Process improvement | Reporting | Audit testing | Accounting principles | IT auditing | Information systems | Data analytics | Financial statements | Generally Accepted Accounting Principles (GAAP) | Ethics | Analytical skills | Communication skills | Presentation skills | Organizational skills | Teamwork | Written communication | Professionalism | Continuous improvement | Project management | PCAOB | Auditing standards | Documentation review | Process analysis | Compliance assessment | Internal auditing principles | Risk identification | Regulatory requirements | Corporate governance | Data manipulation | Audit opinions | Quality control | IT systems security | Audit findings | Corrective actions | Evidence gathering | Problem identification | Risk mitigation | Compliance monitoring | Account reconciliation | Process documentation | Process evaluation | Internal audit reports | Audit committee | Initiative | conflict resolution | management | Multitasking | problem-solving | computer skills | writing | training | responsibility | collaboration | negotiation | motivation | SQL | Python | Certified Anti-Money Laundering Specialist (CAMS - spirant) | RSA Archer | SailPoint | Lifeware | Jaguar | Qlays | Jira | ServiceNow | ASM Broadcom |Internal Control Design & Implementation | Governance, Risk & Compliance (GRC) | Risk Registers & Risk Control Matrices | SOP Documentation / Standard Operating Procedures | IT Compliance Audit | IT Security Auditing | IT Risk Assessment | Cybersecurity | Information Security Management | Data Security / Data Protection / Data Privacy | Security Risk Assessment | Penetration Testing | Network Security | System Security | IT Systems Management / IT Oversight | IT Governance | PCI DSS Compliance / HIPAA Compliance / GDPR Compliance | NIST Cybersecurity Framework (CSF) | Information Security Risk Management | Security & Privacy Frameworks | Vulnerability Assessment | Security Incident Management | Identity & Access Management (IAM) | Security Controls Implementation | Artificial Intelligence (AI) | AI Governance / Responsible AI |AI Ethics | Generative AI | AI Strategy / AI Implementation | AI Algorithms / AI Models | Machine Learning | AI Automation | Conversational AI | Microsoft Azure AI / AI Deployment | AI Risk Assessment | AI Integration / AI Frameworks | AI Analytics | Data Analytics | Business Data Analytics | Data Mining / Data Mining Tools / Data Mining Algorithms | Big Data Analytics / SAP HANA Analytics | Workday Reporting & Analytics | SQL / Python / R | Data Flow Analysis | Data Quality & Data Governance | KPI Dashboards / Business Scorecards / Performance Metrics | Financial Reporting Controls | Internal Financial Reporting | Financial Analysis / Financial Reconciliations | Budgeting / Cost & Risk Budgeting | Report Writing / Report Review / Report Preparation | Data Protection & Privacy Standards | Detail-Oriented / Attention to Detail | Analytical Thinking / Critical Thinking | Problem Solving / Creative Problem Solving | Team Collaboration / Team-Building | Written Communication / Report Writing | Project Management / SDLC / STLC / Agile SDLC / Waterfall SDLC | Continuous Process Improvement / Business Process Improvements | Technical Documentation / Software Documentation | Innovation / IT Innovation / Business Innovation | Strategic Planning / Risk-Based Decision Making | RSA Archer GRC / SAP GRC / Oracle GRC | Microsoft Excel VBA / Excel Dashboards / Excel Data Analysis | Workday / SAP Systems / SAP R/3 | Agile Tools / Jira / ServiceNow | Data Analytics Tools / Business Intelligence Tools | PCAOB Auditing Standards / GAAP / IFRS / COSO / COBIT |