

IT SOX/ Security Analyst IT SOX/Security Analyst IT Audit Manager Riverside, CA 12+ years of progressive and professional experience in Top Tier companies performing IT, Financial, & Security Auditing, Business Process Improvements, and technical/data analysis 10+ years of in depth knowledge of SOX 404: IT governance and effectiveness, IT Program Management, controls, implementation, testing, monitoring, and remediation. Successful in building and managing key client relationships and diverse teams to successfully deliver project requirements within tight deadlines and budgets. Exceptional interpersonal communications skills, comfortable discussing issues from C-Level executives to IT personnel. A result-oriented team player who acquires knowledge quickly and adapts easily to new challenges. Authorized to work in the US for any employer

Work Experience IT SOX/ Security Analyst Various Consulting Engagements April 2014 to Present Manage the IT SOX Audit process for a \$4B company in its 2nd year of SOX Audit. Perform IT controls monitoring, review evidence gathering & examination, and remediation. Conduct HealthCare Exchange (HIX) compliance audits for hardware & software applications. Responsible for close-loop internal audits starting with initial meeting with the control owners to status updates of the remediation process. Monitored and reviewed staff workpaper's for accuracy and completeness. Sr. Associate KPMG - Los Angeles, CA October 2012 to March 2014 Evaluated data security measures to identify vulnerabilities and suggested remediation methods. Created slides for C-level management over security findings related to DB2 & Unix/Linux. Managed & reviewed off shore's staff's IT controls testing and remediation. Updated process narratives for new in-scope applications & regions for an analytics client. RFL: Better work life balance Sr. IT Compliance Analyst Jos A Bank - Hampstead, MD July 2011 to October 2012 Lead IT and Business teams to successful remediation of IT controls. Reduced external audit deficiency findings by 50% from prior year. Identified IT Controls to optimize/consolidate/remove for SOX vs. Compliance purposes. Performed testing over AS400, access provisioning, restricted access, and change control. Assisted in security reviews/data collection for PCI Compliance. RFL: Moved to California to be with the spouse Senior IT Consultant/ Security Technical Specialist University of Maryland & Grant Thornton May 2010 to July 2011 Performed IT audits to confirm no repeat

findings from prior legislative audits. Validated corrective actions for business process audit findings. Conducted security audits for Active Directory, firewalls, anti-virus, change management, UNIX, and Oracle security settings. Identified gaps in documented policies, practices, and controls per FISMA/FISCAM guidance. Performed testing to ensure policies, practices, and controls are defined, documented, and evidenced over IT application along with ACL testing over payments. Supervised the development and training staff for both application and IT controls. RFL: Commute; recruited by Jos A Bank to revamp their IT SOX Controls Sr. Compliance Analyst TIBCO Software Inc - Palo Alto, CA March 2008 to April 2010 Strong Audit leadership experience in scoping, risk assessments, documenting narrative processes and controls, communicating deficiencies to senior management & external auditors, remediating deficiencies, and on-going review of controls. Conducted company-wide risk assessment and identify areas subject to the IT audit, evaluated their significance, and assess the level of risk associated with those areas. Refined and mapped a new IT-RCM to corroborate with the COBIT Risk Framework. Successfully reduced TIBCO's IT internal control count by 55%. Passed external audit (PwC) with a clean report in nine months. Performed testing over the IT controls (Oracle & PeopleSoft), PTP, Cash, Employee Related, and Financial Reporting cycles along with automated controls, reports and spreadsheet testing. Developed and created audit plans for IT and business process controls (manual & automated). Provided business and technical guidance to business and IT over the creation of an automated employee termination script for Active Directory and Oracle. RFL: Moved to Maryland to be with the spouse Associate PricewaterhouseCoopers - San Jose, CA August 2005 to February 2008 Managed staff, budget, and client relationships for multiple audit engagements. Developed timelines, risk assessments of controls, updated management of IT findings, and evaluated staff performance. Executed pre and post implementation reviews of ERP system upgrades for audit assurance. Interviewed/tested, documented, and created MLC (Management Letter Comment) relating to the controls over the company's IT systems for pre-404 clients. Audited Fortune 500 global corporations including documentation and testing of IT system controls for purpose of assessing the degree of financial audit reliance. Successfully executed IT system testing for Software/Internet &

Medical Devices clients. Performed detailed testing of various IT related and automated financial controls for Oracle, PeopleSoft, SAP, & Microsoft Dynamics. RFL: Left for a better opportunity
Education MBA in Finance California State University BS in Business Administration San Jose State University Skills Information Security, Cyber Security, IT Audit (10+ years), Compliance, Application Security, Active Directory, Nist, Intrusion, It Security, access, security, Cisa, Cobit, Fisma, SOX Certifications/Licenses CISA August 2017 to Present

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