

SOX Project Manager SOX Project Manager IT Audit/ Security consultant & SOX Project Manager  
San Francisco, CA Qualified Security Assessor (QSA), Payment Card Industry Professional (PCIP)  
and Certified Information Systems Auditor (CISA). SOX Consultant and Financial/Operational/ IT  
Auditor with over twenty years of auditing experience, tax and MIS. Financial services, health care  
and governmental sectors experience. Strong writing, organizational, oral and interpersonal skills.  
Advised line management of audit findings and made recommendations for improvements. Worked  
both in a team and as an individual auditor. Technical knowledge includes, but is not limited to:  
OS/390, TSO/ISPF, DOS and MS LAN. Auditing Oracle E-business Suite training. Familiar with  
Paisley s GRC, PWC s TeamMate, IBM s Lotus Notes, Excel, Word & Visio. ISACA Training: Web  
Application & Network Penetration Testing and Incident Response Planning. Access management  
security reviews (multiple environments) initiations, transfers and terminations. Authorized to work in  
the US for any employer Work Experience SOX Project Manager Randstad - San Francisco, CA  
December 2018 to March 2019 Assisted in leading a comprehensive SOX rationalization program  
to identify key controls and assist with developing a standalone SOX program within Internal Audit.  
Assisted in refining, implementing and maintaining the SOX program for both Internal Audit and the  
Bank. Prepared materials for the SOX Steering Committee including assessing all findings against  
deficiency criteria. Prepare quarterly reporting for the Audit Committee, working closely with the  
Professional Practices Audit team. Worked closely with the Internal Audit leadership and  
management team to provide support for internal development of the team and overall process  
enhancements. Worked closely with our external auditors to ensure the program meets their  
requirements in terms of scope, timing and approach. Supported the team as a Subject Matter  
Expert on COSO and SOX strategy and program. Performed SOX testing of IT General Controls  
in the areas of Security, Change Management, Application Access, and /or Monitoring Controls.  
Be viewed as a leader, management consultant and internal controls expert as part of building and  
maintaining ongoing business/audit relationships with management. Security Controls Consultant  
Robert Half - San Francisco, CA May 2018 to October 2018 Coordinated and conducted  
workshops with internal stakeholders to review existing and proposed Information Security Policies

and Standards. Collected and followed up on recommendations, revisions, or action items that result from the workshop. Wrote instructional materials (e.g., standard operating procedures) that provide detailed guidance for both technical and nontechnical audiences. Updated the Bank's Intranet (SharePoint) site with approved policies or standards or procedures. Other duties as assigned relating to the creation or updating of Information Security Control Framework documentation management.

Compliance Analyst 4/Sr. Controls & Gov. Officer Anjaneyap Global Inc - Milpitas, CA September 2017 to January 2018 Developed and implement Policies, Standards and Procedures into IT business processes/operations to meet regulatory compliance requirements and align them with the Bank and FFIEC requirements; align IT business procedures with Compliance policies in accordance with Policy and Procedure Administration standards. Promptly correct compliance issues and control weaknesses that have been identified; track, input status in official system of record, report to management, and timely remediate compliance issues - self-identified issues, Compliance Independent Testing, Internal Audit or external examination findings. Evaluated new (or materially modified) products/systems/ use of new technologies/third party providers/other business initiatives and assess for regulatory compliance risks and adequacy of controls as business applicable. Reviewed IT business functions to determine impacts of new regulatory developments and implement required changes in a timely and effective manner; assign an IT subject matter expert who will evaluate new technology-specific regulatory developments to determine applicability and impact to the Bank. To contribute to any Compliance, Internal Control and Operational Risk statement/reporting. To identify and report/escalation alerts on issues related to Compliance, Governance, and Operational Risk.

Tax/Accounting Consultant Self-employed - San Francisco, CA January 2017 to May 2017 Consultant preparing federal and state individual tax returns. Consultant in assisting start-up business for individuals.

PCI DSS Risk Analyst/Consultant Teksystems - San Francisco, CA February 2016 to September 2016 Facilitating and performing PCI DSS assessments and other compliance standards. Tracking and facilitating remediation of compliance related issues identified through assessments. Coordinating penetration testing and vulnerability assessments to identify control weaknesses and assess the effectiveness of existing

controls and recommend remedial action plans. Working closely with product managers, project managers, and developers. Developing, documenting and maintaining security policies, processes, procedures and standards preferred. Analyzing security requirements and relating them to appropriate security controls. Senior IT Auditor Consultant Artech Information Systems LLC - Morristown, NJ August 2015 to December 2015 Performing and documenting SOX testing of IT General Controls in the areas of Security, Change Management, Application Access, and /or Monitoring Controls. Information Analyst Mindlance - San Francisco, CA December 2014 to March 2015 Responsible for development, monitoring and reporting out on SOX controls. Analyzed SOX controls and implement processes; monitor progress for SOX controls and ensure processes are successfully being followed. Worked with the FCC and IT Compliance organizations to ensure there is clear communication and understanding / agreement to the development and adherence to the SOX controls. Ensured development of reporting and status on SOX controls. Senior IT Audit Consultant Robert Half - San Francisco, CA October 2014 to November 2014 IT SOX general controls documentation and testing (Access Security, Change Management, SDLC and Computer Operations). Information Security Analyst Systems Integration Solutions - Walnut Creek, CA November 2013 to June 2014 Lead execution of the audit process and participate in audits (to perform control testing or provide subject matter knowledge/skills), in accordance with policy. Identified and assess key risks and controls and develop effective test plans for engagements. Evaluated and provided appropriate solutions for complex problems. Presented results in an objective and unbiased manner. Wrote opinions reflecting relevant facts that lead to logical conclusions. Escalated significant risks and loss exposures to appropriate levels of management.

CRAS+ Training and knowledge of Sparc. Tax Consultant Self-employed - San Francisco, CA January 2013 to May 2013 Consultant preparing federal and state individual tax returns. Consultant in assisting start-up business for individuals. Currently have over 250 clients. IT Security Consultant (PCI) - Truvariant - San Jose, CA September 2012 to December 2012 Performing IT assessments of client environments, using defined, best practice IT standards, Payment Card Industry Data Security Standard (PCI DSS) and assisting the senior security

consultant. Preparing reports (PCI DSS, ROC and AOC) and other deliverables that contain strategy, technical analysis and findings in connection with the engagement and communicating those results to client management. Providing guidance to clients regarding all aspects of IT security and deliver client projects. Providing regular status reports on all projects assigned. Interacting effectively with co-workers and clients at all levels, as to foster and maintain strong working relationships. Growing the business by identifying up-sells with existing and potential clients. Senior IT Auditor Accretive Solutions - San Francisco, CA June 2012 to August 2012 Conducted integrated and information technology audits. Planned, executed, delivered and effectively collaborated on integrated audits with Financial/Operational audit team. Ensured that audit issues and associated root causes were understood, well defined and presented to audit and client management. Ensured audit issues presented were appropriately reviewed with the auditee for accuracy and completeness. Utilized problem solving skills to add value to areas audited. Developed formal written reports to effectively communicate audit results and recommendations to management. Facilitated obtaining action plans for issues noted. IT Security Consultant (PCI) - DRG - Redwood City, CA June 2011 to April 2012 Performing IT assessments of client environments, using defined, best practice IT standards, Payment Card Industry Data Security Standard (PCI DSS) and assisting the senior security consultant. Preparing reports (PCI DSS, ROC and AOC) and other deliverables that contain strategy, technical analysis and findings in connection with the engagement and communicating those results to client management. Providing guidance to clients regarding all aspects of IT security and deliver client projects. Providing regular status reports on all projects assigned. Interacting effectively with co-workers and clients at all levels, as to foster and maintain strong working relationships. Growing the business by identifying up-sells with existing and potential clients. Tax Consultant Self-employed - Fort Lee, NJ January 2009 to May 2011 Consultant preparing federal and state individual tax returns. Consultant in assisting start-up business for individuals. Currently have over 250 clients. Senior IT Auditor Western Union Company - Montvale, NJ June 2007 to July 2008 Assisted IT Internal Audit management with annual risk assessment used to determine Audit Plan.

Participated in the planning, scheduling, and supervision of assigned audit projects. Prepared automated work papers documenting and supporting audit procedures and techniques conducted. Ensured that work papers contained adequate evidence to support audit findings. Reviewed work papers of audit team for accuracy and completeness. Analyzed findings, determined "root causes", formulated opinions, and developed recommendations. Assisted in the preparation of accurate and timely formal written audit reports and made oral presentations to management on findings and recommendations. Monitored managements' resolution of the gaps outlined in the audit reports. Provided appropriate coaching to audit staff throughout their assignments. Reviewed SAS 70's for Risk Assessments and Audit Planning. Auditing compliance with IT regulations - SOX 404 and internal policies and procedures and COBIT. Sarbanes and Oxley Consultant Rohn Rogers & Associates - San Francisco, CA July 2004 to May 2007 SOX section 404 Compliance experience, including documentation of business and IT process controls, scoping, walkthroughs and independent testing of Application Controls (ITAC) and IT General Controls (ITGC) and compliance with COBIT and COSO. Performed an application review for SOX key controls and compliance with corporate policy for the Loan Servicing and Account Management System (LSAMS) application. Assisted the Sox Assistant Controller in the monitoring of the company's regions business cycles for compliance with Headquarters SOX standards. Documented the Lockbox business cycle, prepared flowchart and performed the walkthrough. Performed risk assessments and prepared test plans. Directed staff responsible for SOX compliance. Determined sample size and nature of tests to be performed. Documented applications, X & Y and tested for access controls and segregation of duties. Inventoried and tested the company's spreadsheets per PWC's White Paper standards. Testing of general controls in the following areas in the Information System Department: Dealer Set Up, User Security, End of Day Bottom-line Processing, Project Management and System Maintenance and Changes. Documented cycles and prepared control matrix for the following: Purchasing, Accounts Payable, Fixed Assets and Payroll. Also, assisted the Consulting Manager in exit conferences and presented findings to audit committee and senior management. Education M.B.A. in MIS in MIS/Corporate

Finance Pace University - New York, NY B.S. in Accounting. in Accounting Fordham University - New York, NY Skills Active directory, Unix, Sql, Mvs, Windows 2000, Novell, Training, SOX, Cisa, It Audit Certifications/Licenses CISA December 2009 to December 2020 Additional Information SKILLS: Hardware: IBM 4381, Novell and Windows LANs, IBM PS2. O/S: OS/MVS, TSO, DOS, Windows 2000, Unix. Windows Training: Network Essentials, Windows 2000 Server, SQL, Network Infrastructure and Active Directory.

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