Information Security Risk Analyst for Third Party Risk & Due Mission Viejo, CA * Over 10 years of experience of Vendor Risk Management, Operations and Client relationship for financial industry. * Knowledge of effective project management strategy, technique and skills required to effectively manage project scope, schedule, costs, communication, vendor management, resources and quality assurance * Knowledge and experience of requirements capturing/gathering through research, formal-informal sessions and JAD sessions with SMEs and end users * Specialized in AS-IS and To-Be Processes for functional requirements and building use-cases, data flow diagrams, workflows and swim Lanes * Understanding of IT Terminology, Business, Risk, Compliance & Governance (GRC), BC/DR, Information Security and Infrastructure related terms * Manage Small to large scale projects with moderate to high risk initiatives * Creative thinking, decision-making abilities and high level of confidentiality * Excellent analytical, grasping, problem solving, documentation, communication and interpersonal skills * Strong technical and business skills with experience on business and process modeling * Maintain professional relationship with Clients, Vendors and Project Managers * Experienced in test creation and execution, performed user acceptance test and functional testing * Deep knowledge and understanding of traditional SDLC's through all stages of application development Life-cycle * Ability to work in fast-paced environments and deliver quality output; handle multiple task on short deadline * Highly motivated and self-learner in fast paced, rapidly changing and collaborative team environment * Excellent knowledge of Adobe Photoshop, Illustrator, InDesign, Macromedia Dreamweaver, Macromedia Flash, HTML, Cascading Style Sheets (CSS) and Microsoft Office Authorized to work in the US for any employer Work Experience Information Security Risk Analyst for Third Party Risk & Due LPL Financial - San Diego, CA October 2017 to Present diligence * Managed and performed periodic Third Party Vendor Risk Assessments for vendors storing corporate data in order to determine the maturity of their security controls and to identify deficiencies. Perform a comprehensive due diligence on current and new vendors, located domestically and offshore by reviewing their Policies, Third Party Audits, Financial Viability, Control Objective, Contract Risk, Privacy Posture, Certifications and Penetration Test.

Collaborated with Procurement Team, Information Security, BCDR and Business Sponsor to determine the appropriate steps to mitigate the risk(s). * Liaison among Process Owners and Archer Developers in order to understand the structure, policies, and operations of GRC processes, and to recommend solutions that enable Third Party Risk & Due Diligence team to achieve its goals in pre-scoping and design phase. * Lead team of three analysts to create wireframes through Development to Production, Participate in User Acceptance Testing, Manage issue tracker, bug fixes and develop training material for new implementation or enhancements to existing functionality * Evaluates complex business and technical requirements, and communicates inherent security risks and solutions to technical and non-technical business owners * Manage data integrity of all TPRD vendors through Inventory and Schedule. Manage uploading all data and import upload templates into Archer production. Quarterly Audit of Procurement to identify any vendors not included in inventory. * Administrated the all user's access within Archer and conducted periodic access review. * Reporting & metrics for vendor assessment findings. Data analysis of identified risk ratings and aged findings. Data collection and collaboration with team and business units owning vendor relationships * Lead and manage third party vendor risk assessments for various business unit and process improvement initiatives. * Establish Change Management Program; write procedures and implement Suggestion Box on SharePoint site. * Update and design new processes, methodologies and tools to optimize operations around department activities. * Manage the contractual change management process, review and approve contracts, change request and purchase order for procurement after conducting a risk assessment and work closed with legal and procurement team to ensure remediation plan and audit language is incorporated or negotiated. * Manage offshore team's day-to-day operations, conduct training for any projects, process changes or updates, and conduct QA. Identify opportunities for additional offshoring opportunities. * Processed invoices in Ariba confirming all documentation is present. Review SOW submissions. Approval provided based on assessment review. Includes managing schedule of vendors * Lead for SharePoint project - successful and timely migration of data, balance needs of VRM Program vs. SP site capabilities. * Assist in audit activities in accordance with the established audit schedule or

equivalent and applicable organizational processes * Partner with executives and business units to ensure compliance with all Federal and State Laws and Regulations. Advise executives on areas of existing and emerging risks and provide guidance to establish * Review IT Security Compliance and Audit management - Regulatory requirements/frameworks (PCI, IT Controls for Sarbanes-Oxley, Privacy/PII, NIST, ISO, ITIL) & direct participation in leading/managing audits of internal and external software & services. * Ensure Risk-based Compliance to governmental and industry standards such as FISMA and SOC reports Sr. Vendor Risk Analyst for Third Party Risk Management BANC OF CALIFORNIA - Santa Ana, CA February 2017 to September 2017 * Develop, implement, and monitor a risk-based program to identify, assess and mitigate potential operational risks that may arise from inadequate or failed internal processes, people, systems or external events while maintaining a balance between risk mitigation and operational efficiency. * Work with business units and Stakeholders to provide compliance expertise, risk expertise and consulting for projects and initiatives with moderate to high risk to identify, assess and mitigate regulatory risk in all business activities. * Assist Business Continuity Planning (BCP) team to collect and maintain the third party provider's Business Impact Analysis (BIA) and BC/DR documentation in accordance with company regulatory and industry guidance for BCP and to understand the criteria of Recovery Point Objectives (RPO) and Recovery Time Objectives (RTO) meets bank's expectation. * Work closely with Information Security and Privacy team to assess the third party provider's controlled environment and usage of Nonpublic Personal Information (NPI) through SSAE16 and SOC reports. * Review and approve functional design definitions such as Application Requirements for GRC RSA Archer deliverables to ensure business requirements are being met. * Created policies and desktop procedures, created workflow for the functional requirement based on the concurrent situation. * Facilitated JAD sessions and working to create workflows to ensure that the process was actively running * Evaluate information gathered from multiple sources, reconcile conflicts and translate high-level information, business requirements into technical specifications. * Participate in testing, monitor user acceptance testing and develop training material for new implementation or enhancements to existing functionality.   * Proactively communicate and

collaborate with external and internal customers throughout the project lifecycle. * Assist Third Party Risk Management Program/ Senior Vice President with day-to-day execution of project implementations: planning, tracking, documentation, status updates and issue escalation. * Track and report status of contract pipeline, negotiations, Annual Reviews and backlogs * Audit and evaluate the adequacy and effectiveness of service level agreements (SLA), policies, procedures, processes, initiatives, products and internal controls and identifies issues resulting from internal and/or external compliance examinations. * Participate in negotiation of new contracts and amendments to existing contracts for third party providers to keep organization Risk Acceptance and Remediation plan with current and new regulations such as OCC (Office of the Comptroller of the Currency), OFAC, FFIEC, GLBA and SEC regulatory * Maintains vendor contract database and SharePoint pipeline of new and existing third party contracts * Responsible for assisting in the development of monitoring oversight program of third-party service providers. * Provide recommendations and share best practices on Archer as part of continuous improvement initiatives in 1st line of defense. Compliance Risk Analyst The Auto Club - Costa Mesa, CA May 2016 to December 2016 * Subject matter expert to understand and assess the third party Risk. Assessments and controls include those relevant to laws, regulations and industry security standards, determining their ability to protect confidential data. Perform security assessments of systems, applications, data centers, and service providers using an established framework and tools to evaluate vulnerabilities. * Developed appropriate information security policies, standards, procedures, checklists, and guidelines using generally- recognized security concepts tailored to meet the requirements of the organization * Provide an application support for RSA Archer which includes creating user account using python script, manage user access, update access, password reset, update finding, troubleshoot user account etc. * Assist in analyzing the findings and establish a risk score based on an established scoring framework in RSA Archer. Present findings and assessments to business owners as well as third party service provider. * Review third party service remediation plans and determine if the plan sufficiently mitigates identified risks. * Track and report the progress on remediation of identified risks and vulnerabilities. Enhance risk/vulnerability assessment programs

and questionnaires to aid in the identification and mitigation of security risks for top-tier clients.   *
Monitor appropriate sources for newly identified vulnerabilities, audit and evaluate the risks such
vulnerabilities pose to the organization's information and systems, and advise management of
appropriate measures to eliminate or reduce the organization's risk or exposure to such
vulnerabilities.   * Drive automation of routine data collection and develop reporting processes for
performance management. IT Enterprise Operations Governance Lead Toyota Financial Services -
Torrance, CA March 2015 to May 2016 * Manage relationship with infrastructure vendor (HCL),
vendor performance, contracts, the terms and conditions of contracts, SLA and financial with
Toyota.   * Gathered requirement to automate and customize the monthly performance metrics
reports in Service Now * Ensuring that the solution will be built on a scalable open-architecture that
will provide Vendor the extensibility to customize   * Improvised and optimized performance
exception request process by conducting gap analysis * Set up and documented Engagement
Model for IMS Governance and streamlined business processes * Managed Service Now to query
data and metrics   * Developed the Test cases, conducted UAT and functional testing on the
customize report * Actively questioning and challenging users to understand their requirements and
design optimal solutions.   * Developing use cases, process flows, maintaining requirements
traceability matrix, supplementary requirements, business rules, gap analysis etc. perform Root
Cause Analysis (RCA) * Supported the review of technology contract deals to ensure a sound
sourcing approach, strategy adherence and that a competitive environment is maintained.   *
Prepared reports for performance and financial metrics/KPIs in collaboration with the IT Service
Management (ITSM) Team.   * Monitored the supplier's compliance with contract terms and
conditions, service level requirements and provided reports on the status of all deliverables with IT
outsourcing provider and infrastructure technical Services   * Executed recurring financial data,
performance and contract compliance processes and data analysis on a monthly basis   *
Coordinated in support of Integration Governance, quality control and auditing of information,
including working directly with Suppliers and Infrastructure Managers and Data Center Leads the to
resolve data conflicts and inappropriate usage; scope of this activity includes Service Desk,

Deskside, Network, Data Center Operations, IT Facilities and Security Management. * Performed quarterly audit of IT Enterprise Operations Supplier SOWs across all platforms and projects working directly with IT Tower Managers/Leads to ensure compliance and delivered audit report to OCIO for interpretation and further discussion with Supplier. * Provided coordination and administrative support to ensure adequate Disaster Recovery arrangements have been made and tested to deliver acceptable audit results. * Provided necessary help to the operational framework for decision making and extract changes across multiple departments, including training for Associates and Suppliers. * Track, analyze, and communicated appropriate key vendor performance metrics. * Supported efforts to rectify failures by following established issue and escalation processes and procedures * Supported department compliance to establish IT policies, practices, standards, processes and procedures. * Driving continuous improvement efforts (e.g., Kaizen; cost reduction).

Business Analyst/Vendor Risk Analyst The Capital Group Companies - Irvine, CA September 2010 to March 2015 * Subject Matter Expert for transitioning new requirement to offshore and manage transitioning lifecycle for Global Sourcing Office (GSO) * Provide coordination, documentation and enhancement support for operational processes to meet the project/program goals in areas of consultant/resources on-boarding, consultant location movement, data security, infrastructure, information security - risk assessment, data protection, application packaging, provisioning, UAT for VDI, help desk, issue management, time tracking & billing, Invoicing, reporting and any other offshore related areas * Develop and maintain standard project artifacts, process guideline for engagement model, hand off plan between the teams, streamlined onboarding contractor's process for vendors, Business application list, action items lists, meeting minutes, agendas, risks, issue and change control procedure and log * Analyze and documented the functional/technological gaps to improvise outsourcing process for GSO * Created Offshore Program website workflow by gathering business requirements, conducting workshops, creating process workflow diagrams and end to end testing. * Gathered infrastructure requirement for provisioning team to prepare the virtual desktop images (VDI) for over 100 + New and steady state projects and managed 900 VDI for onsite/offshore resources, conduct UAT with the onsite lead to ensure the requirements are

executed as per BU's expectations. * Ensured a risk assessment review is completed for offshore feasibility with Information Security team, compliance and the project team to determine appropriate risk controls and have them implemented as part of the solution across ITG Sourcing committee if needed * Assisted Governance Risk and Assessment team with realignment initiative to update the Third Party Access Control (TPAC) to new Data Classification Matrix control on over 200 business applications to ensure they align with compliance regulatory and created test plan * Conduct and manage the period access review for line of business * Maintain CRM database of all vendor resources. Map all offshore/onsite resources to key projects, systems plans and stakeholders. Coordinate headcount and resource information with SPOC, Data Security, F&A and any other departments to support their needs in Beeline. * Establish infrastructure environment, network connectivity and remote access for new vendors * Responsible for interfacing with the IT Managers and Vendors to ensure the resources are being ramped up with appropriate network access, badge, AD Group using ARMS and BMC Remedy System * Assisted Infrastructure SME to plan a oversee disaster recovery exercises including data center fail-overs; system, network, application and data restorations; and third-party service provider testing. * Update content, available documentation and processes on the GSO website and SharePoint * Responsible for reporting Financial Ratios, Blended Rate, Spend Distribution, Onshore Offshore Ratios, Headcount and other metrics for $15 M project portfolio to directors and executives within the organization. * Track, manage and facilitate invoices and billing issue resolution. * Conducted compliance check on the export controls (ECCN) on certain commercial items and technology * Manage GSO audits, conducted by internal compliance organizations and external auditors Project Analyst CCH, A Wolters Kluwer Business - Tax and Accounting - Torrance, CA July 2008 to September 2010 * Knowledge of effective project management strategy, technique and skills required to effectively manage project scope, schedule, costs, communication, resources and quality * Ability to proficiently manage demanding requirements in a deadline oriented environment * Prepare Statement of Work (SOW) for various contracting vendors and financial report for each contractor; create consulting agreement addendum upon the renewal of resource. * Consolidate bugs report from TFS (Team Foundation Server) and

Rally Dev * Maintain the backlogs for each release, and ensured user stories are captured accurately in Rally Dev, created Sprint Dashboard, Scrum Board in Rally * Complete status report for PMO consolidation as defined in the Program Status Reporting guidelines * Manage project task and milestone, issues and risks and managed the remediation tracker for escalations * Assisted PM's on the project and prioritized planned activities and accomplishments on the weekly basis. * Maintained and reported periodic status by proactively monitoring the milestone and go-live dates, deliverables, activities of the team members, and the "project health" (red, yellow and green). * Experience in writing basic SQL search queries. * Assist Top Executive in meeting preparation, create Agendas and take Minutes of Meetings. Track and follow-up on action Items. * Prepared the Steering committee meeting (SCM) presentation for the Board of Director and PMO, coordinated department and off-site meetings * Create burn down charts, Manage/update documents on SharePoint, manage Active Directory and User Access for NextGen and PMO department * Create new user accounts, assign roles for new employees/contractors, and updates account assignments for transferred/terminated/Moved associates. Creates, maintains, and disables user access within various technologies and systems, manage Active Directory group for application level access. Provided an administrator support for SharePoint and Rally Dev * Layout and Design company event's flyer, create icons for the software Freelance Torrance, CA May 2005 to July 2008 Website Design and Search Engine Optimization Manager   * Coordinated in-house technical projects to the efficiency, quality and cost effectiveness of providing web designing service for small business * Planning, Layout and design and implementation of complete web sites * Creating custom graphics layouts, Photo cleanup, Logo design, Banner design, splash page and Flash Intro * Edited website and redesigned the websites, with custom Logo and new Layouts * Design and Code the websites using different mediums such as Adobe Photoshop, Illustrator, Flash, HTML and CSS * Design with standards compliant code with emphasis on browser compatibility, accessibility, and search engine optimization including: keyword research/selection, Meta tagging, search engine submissions, position tracking * Create fresh content, writes, edit and proofread a variety of documents, plan and prepare articles for online distribution for website promotion & marketing,   * Use very effective

marketing techniques to increase website traffic   * Maintaining websites Education Diploma in Business New Media Design in Business New Media Design Centennial College - Toronto, ON April 2002 to June 2005 Skills ARIBA, DREAMWEAVER, SECURITY, SHAREPOINT, BUSINESS CONTINUITY, Microsoft Excel, Purchasing, Excel, Procurement

Name: Randy Thomas

Email: ejones@example.org

Phone: 420-634-9602