

MARK BARSHAY

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GLOBAL RISK AND COMPLIANCE LEADER

As an accomplished compliance and risk management professional with 18 years of experience, I have a proven track record of leading successful compliance monitoring teams and developing effective risk mitigation strategies. My expertise in monitoring testing plans and ensuring adherence to policies and procedures has resulted in significant reductions in organizational risk. With exceptional communication and persuasion skills, I excel in engaging with stakeholders at all levels to drive strategic and operational results. I am a results-driven leader who consistently delivers high-quality work while adapting to changing business needs.

PROFESSIONAL EXPERIENCE

S&P Global Ratings, New York, NY

Compliance Department – Risk Manager

August 2015 – February 2023

- Managed a global ratings file review team, including hiring, training, coaching, and ongoing management of team members in New York, London, and India
- Lead in redesign of the file review scope to align with evolving policies, risk, business needs, rating system and process updates, and global regulatory requirements, resulting in improved compliance and risk mitigation within the organization
- Conducted extensive training on the new monitoring scope for team members, involving travel to London and India
- Served as the key liaison to stakeholders such as Analytical Managers, In Business Controls, Legal, Audit, Analytic Quality, Controls, and Compliance, delivering file review results to effectuate continuous improvement within the organization
- Upon the group's merger with Compliance Examinations in 2018, incorporated file review results into regional office exams delivered to respective regulators globally
- Partnered with analytical teams, regulatory compliance, and legal to assess the sufficiency of ratings file documentation in response to examination requests from regulators globally, ensuring a complete submission
- Conducted thematic/deep dive reviews to assess the adequacy and adherence to specific policies and controls, including risk topics identified by stakeholders, senior management, or regulatory findings

Compliance Department – Covering Compliance Officer

Oct 2014 – July 2015

- Acted as the Covering Compliance Officer for U.S. Financial Institutions and Structured Credit departments
- Provided guidance to analysts on compliance issues, answering policy and procedure inquiries and offering recommendations for best practices
- Participated in rating committees and daily analytical huddles, identifying and addressing potential compliance issues and mitigating risks
- Analyzed rating error corrections and rating activity reports to identify patterns and trends, ensuring ongoing compliance and quality control
- Conducted surveillance of analyst emails and communications to monitor for potential compliance issues and risks, implementing corrective actions as needed

Internal Controls Group – Senior Analyst

Apr 2011 – Sept 2014

- Monitored and completed internal control group testing in accordance with policies and procedures
- Conducted rating file review testing oversight and reported key findings, leading to process and control improvements to ensure compliance
- Trained global control group team members on successful file review completion processes and guidelines
- Prepared and presented regional and global reports to senior management and the Board of Directors
- Compiled findings reports for regulatory examinations
- Collaborated with key analytical and operations representatives to discuss file review trends and propose recommended actions to decrease reported issues
- Escalated high-risk issues to compliance, legal, and global regulatory affairs

Ratings Quality Group – Senior Research Assistant

Oct 2010 – Mar 2011

- Completed file reviews for Structured Finance and Corporate and Government ratings across all sectors
- Presented key findings and recommended actions to ratings quality officers and analytical managers regularly
- Collaborated with stakeholders to provide specifications for the development of a new file review platform
- Identified opportunities for continuous improvements to the file review platform and worked with technical business analysts to implement updates

Research Assistant

July 2005 – Sept 2010

- Coordinated the analytical training program for the Structured Finance department by monitoring requirements, managing vendors and instructors, and reporting on progress
- Contributed to the successful implementation of a new training management database platform to improve training management processes
- Participated in research projects including ratings stability and annual default and recovery studies to improve the analytical process
- As member of a newly created team and ratings quality initiative, conducted file reviews to ensure ratings quality and presented findings to analytical managers

Citigroup, Smith Barney – Finance Intern, New York, NY

June 2004 – Aug 2004

- Collaborated with wealth management financial advisors on daily operations, including assisting in preparing prospective portfolios for client meetings, and managing client interactions

EDUCATION

Baruch College, New York, NY

June 2005

- BBA in Finance & Investments, GPA: 3.7
- Minor in Industrial Organizational Psychology

Technical Skills: Proficient in Microsoft Office Suite (Word, Excel, PowerPoint), SharePoint, and document management platforms