**George E. Smith**

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**Summary**

Management Consultant with a technical background and experience in both Banking, and Big Four consulting. Qualifications include proven quick learner, having succeeded on a diverse array of advisory projects while acting as a subject matter expert. Skilled in Python, R, and Excel with a passion for data sciences.

**Work Experience**

**Element22 October 2020 - Present**

**Senior Management Consultant**

* Developed Data Dictionary, and Data Asset Catalog for a leading stock exchange.
* Developed End-Use Master requirements for a leading data analytics company
* Developed a reference architecture to assist an asset manager in their cloud transformations and development of data and analytics capabilities
* Supported the Enterprise Data Governance Program establishment of a leading wealth manager
* Supported the process improvements of product data for a leading wealth manager
* Client Data Strategy for a leading wealth manager

**KPMG, New York, NY January 2018 - August 2020**

**Advisory Financial Services**

* Conducted Regulatory Audit Assist reviews for over 20 broker-dealers and FCMs, including reviewing the balance sheet, 15c3 -1 Net Capital, 15c3-3 Customer Reserve, and CFTC segregated and secured balances, compared to regulatory requirements and industry standards and best practices; identified and analysed regulatory issues; discussed regulatory and control issues with audit teams and client contacts.
* Assisted with Swap Dealer Compliance Voice Recordkeeping regulatory process, risk, and control reviews, including identifying potential gaps and proposing remediation steps to enhance processes and the control environment.
* Assisted with a high-profile legal case related to fraudulent insurance claims
* Regulatory Data Testing of leading Financial Services Organization, including identifying and remediating abnormalities related to repos and reverse repos.

**UBS Financial Services, Weehawken, NJ April 2016 – December 2017**

**Regulatory Analyst**

* Developed the Monthly Net Capital Computation (15c3-1), including calculation of the firm’s net worth, minus various deductions, including calculation of capital charges: inventory haircuts, capital charges for repo and reverse repo, stock borrow and stock loan, fail-to-deliver and fail-to-receive, control stock, non-purpose loans, and other operational charges.
* Assisted with the preparation of the Customer Reserve Computation (15c3-3) including CLAD balances, FX bank accounts.
* Calculated the Daily Segregation & Secured amounts, ensuring separation of customer funds for trading from the FCM’s funds.

**Education**

**Syracuse University, Syracuse, NY January 2021 - Present**

**Masters of Data Science**

**Columbia University, NY, NY February 2020**

**Fintech Certification**

* Six-month Engineering Boot Camp Detailing Financial Programming, Blockchain, Cryptocurrency, and Machine learning applications in Finance.

**New Jersey Institute of Technology, Newark, NJ**

**Bachelor of Science in Business Management** **January 2016**

* Member of the National Society of Leadership and Success.

**Computer Skills**

* Microsoft Office, Excel, PowerPoint
* Python, Pandas, Matplotlib, API Interactions, SQL, R, Alteryx