

Hoang V (Vinh) NGUYEN

M.Sc. Physics, EMBA, CPA, CISA, CRISC, CTP, PMP, PMI-BA

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Manager Delivery Specialist Finance-Investments-Risks-Compliance-Automation-Analytics

Management and Leadership

- Technologist, certified accountant, project manager with 20-plus years of senior management experience in banking and insurance
- Progressive career from analyst to senior appointment at Fortune 50: AIG, PWC, CIBC, SCOTIA, MANULIFE, EXXON
- Achievements across IT disciplines: Technology Strategic planning, Information Systems Management, IT Architecture, Business Process Enablement, IT Control and Audit, Systems Development & Acquisition, IT Governance & Regulation, Program and Project Management
- Success in SaaS deployment, BPM process (automation, workflow, analytics), risk, audit, Treasury, Finance, Capital Markets, Life & Retirement, Lending in USA, Canada, Europe, Australia, APAC
- Track record in 90+ cross-functional programs and rescuing missions over \$50M, 5 streams, 120 FTE, 20 vendors for financial risk, SaaS back & front-office, digital value chain, financial data warehouse, PMO startup, regulatory compliance, new market entry
- 10+ professional designations including CPA, CTP, CISA, PMP with graduate degrees in physics, mathematics, data sciences

Achievement in Program-Project Management, Governance and Management Consulting

- Delivered \$80M 3-year upgrade bankwide financial risk system for \$2B reduced Regulatory Capital
- Led 3-year Life initiatives in 15 APAC countries to realize 4 x \$70M objectives to manage reserve and develop business
- Incubated a \$6M system integration in asset management
- Achieved OSFI certification to get Canadian banking license by designing and implementing SOX, COBIT, ITIL and ISO/IEC controls across 10 areas of IT General Control
- Set up & led PMO for CIBC Financial Risk and AIG APAC
- Successfully rescued 10 high-profile projects of over \$10M

Achievement in Delivering SaaS, Cross-Business Data Integration, Automation and Analytics Initiatives

- Mentored migration of trade, bank, ledger data from 15+ legacy applications into SaaS platform for GAAP accounting, risk analytics and compliance monitoring
- Consolidated 7 risk data areas for 5 asset classes into 20 key reports from internal datawarehouse and Sungard risk platform
- Built Investment Book of Record for a Pension Plan manager with investment-centric view of positions for 40 runs hedge-fund strategies (equity long-short, credit long-short, index arbitrage)
- Delivered bank's internal repository of 200 SOX controls with assessments and testing evidences from 500 key processes

Achievement in Implementing Risk & Control, Compliance and SOX Auditing

- Tested, collaborated with external auditor on the SOX auditing of IT General Control and Application Controls at AIG Finance, Investments and Corporate
- Led in-depth data quality audit for trading & financial risk with focus on I/O controls, ETL rules, metadata, access, retention
- Developed/deployed bank platform for automated SOX assessment & assertion of controls across key lines of business: Including IT, operations, middle office, back office, finance
- Mentored the design, implementation of controls for 10 areas (IT governance, change, cyber security, etc.) to obtained OSFI certification for a Canadian bank
- Tested and evaluated SOX IT General and IT Dependent controls for NYSE-listed AGNICO-EAGLE; compliance submission included design, test plan/results, financial process flowcharts

Competency in Methodology Project Management, Business Analysis, Development and Data Management

- AGILE, SCRUM, PMBOK and gated PMLC methodologies from Scotia, CIBC, AIG, PwC, Sierra Systems
- Project Management PMBOK, Business Analysis BABOK, Data Management DAMA- DMBOK
- Sarbanes-Oxley Act SOX, COSO & COBIT framework, ITIL
- Business Analysis User Story, Workflow, Data Modeling, SIPOC, Process Map, VOP/VOC, Six Sigma DMAIC, UML, Go4
- Architecture 12-Factor AWS & AZURE Microservices design patterns, Zachman framework, Information Engineering
- Outsourcing models, RFQ, RFP, SLA, OLA, service catalogues

Competency in Technology Cloud Computing, Data-Intensive Applications, Microservices and Machine Learning

- Framework Django, SQLAlchemy, Luigi DAG pipeline
- Library DASK parallel computing, PANDAS, NUMPY, SCIKIT-LEARN, TENSORFLOW, PYTORCH, ASP.NET
- AWS (S3, EC2, EBS, VPC), HDFS, SPARK (Core, SQL, Stream), ETL/ELT, MongoDB, ORACLE, SQL SERVER, NoSQL, Big Data SQL, Rest API, XML, HTML
- Language Python, R, Javascript, SQL, C++, Java, C
- TDD, CI/CD pipeline GitHub, Jenkins, Travis CI, AZURE DevOps (TFS), Docker, Kubernetes
- BLUEPRISM RPA, ERP SAP, CLEARWATER, SIMCORP, SUNGARD, ALGORITHMICS, JD EDWARDS
- Project, Excel, Visio, PowerBI, Tableau, ACL, Cognos

Professional Qualifications

- Bayesian Statistics (Harvard Ext. Graduate)
- Advanced Python Data Sciences (Harvard Ext. Graduate)
- Executive MBA (Kellogg-HKUST)
- MSc Master of Social Research, Macquarie Australia
- MSc Statistical Physics (NTH Norway)
- Chartered Professional Accountant (CPA)
- Certified Treasury Professional (CTP)
- Certified Information Systems Auditor (CISA)
- Project Management Professional (PMP), Agile Certified Practitioner (PMI-ACP), Prof. Business Analyst (PMI-PBA)

SELECTED PROFESSIONAL EXPERIENCE

MANAGER FINANCIAL CONTROL | AIG Wilton NYC USA

Sep 2015 – Present

- Partnered with business/IT in strategic programs from business case development, risk-based design of internal control (change management, logical access, security, operations) to execution: migration to CLEARWATER investment accounting, SAP-HANA EP, ARIBA, FIELDGLASS, BLUEPRISM RPA, APPIAN Treasury Workflow, CI/CD AZURE TFS, SONIC, SAILPOINT, SPLUNK
- Completed a machine learning proof-of-concept for change management, using Microsoft LUIS to learn from evidences of testing, approval and promotion (TFS JSON objects, Emails) to accurately determine compliance on 100% of population
- Developed capabilities for 100% internal reliance in the SOX/MAR documentation and testing of 20+ controls and 50 test plans across 150 applications in Finance, Actuarial, Risk, Treasury – with close relationship to external auditor

SENIOR CONSULTANT BANKING STRATEGY | EVOQ | LITCOM Toronto Canada

Apr 2014 – Apr 2015

- Led 3 EVOQ senior business analysts to mentor National Commercial Bank of Jamaica (NCB)'s 6 business units (Product Development, Business & Channel Analysis, Fraud Manager, Operations, IT and Finance) in translating McKinsey's Merchant Acquiring and Business Cards strategy for NCB into an actionable 5-year IT and products roadmap
- Head Continental Bank of Canada (CBOC) through a 6-month OSFI certification process to obtain the banking license: comprehensively assessed CBOC internal controls using COBIT, PCI-DSS, ITIL, ISO 27001/27002 and SANS; executed 7 compliance initiatives to target IT governance, vendor management, data governance cyber and information security

DELIVERY MANAGER RETAIL RISK & OPERATIONS | SCOTIA BANK Toronto Canada

Oct 2013 – Apr 2014

- Retail Loan Platform (RLP): Implemented 12 requests of change in credit origination and shared insurance REST API platform, which required 3 months extension of QAT, involving 3 key lines of business (unsecured retail lending, insurance, finance) and 15 IT team leads (retail loan, insurance, sales, risk, etc.)
- Core Deposits & Payments Non-face-to-Face (NFF): Head 40 team leads from business (Process optimization, retail deposit, call Center, fulfillment/central accounting, data warehouse) and IT/QA&T (Scotia On-line, call Center, AS400, Host mainframe) to redesign the online deposit, customer Non face to Face (NFF) and call center processes

MANAGER ERP CONTROL & COMPLIANCE | CONTROL SOLUTIONS Toronto Canada

May 2013 – Oct 2013

- Documented and tested AGNICO-EAGLES Finance 80-plus SOX controls for ITGC (Governance, WAN/LAN, virtualization, firewall, Active Directory, database, middleware, security monitoring, application, help desk, change management) plus financial reporting controls in JD Edwards G/L, A/P and A/R, fixed assets, procurement, HR payroll

MANAGER SIMCORP TREASURY & SECURITIES ACCOUNTING | HOOPP Toronto Canada

Nov 2010 – Jan 2013

- Led \$15M program to support HOOPP Lean/Six Sigma initiatives with 7 concurrent project streams in accounting, equity, private equity and credit products: financial accounting BI and data warehouse; fair value adjustment for swaps (equity, interest rate), equity basket options; corporate actions workflow and backtesting with feature determination
- Directed 5 project managers and 10 developers using AGILE to implement the user stories for 300 initiatives to transform back office processes; successfully negotiated and prioritized the resulting product backlog then delivered a 20,000 man-hour work stream to integrate the technology with portfolio management, securities trading and risk management

SENIOR MANAGER PMO BASEL | CIBC Toronto Canada

Jun 2009 – Oct 2010

- Led 6 work streams (market risk, trading credit risk, operational risk, analytics, data and technology) through 3 phases of the Risk Strategic Initiatives: POC, vendor selection and negotiation. Documented use cases for 50 groups of workflow, consolidated 500 groups of requirements complete with calculation models, MONTE CARLO simulations, data dictionary and business rules
- Developed the work packages and resource costs to lead vendors and IT through the "order-of-magnitude" exercise to analyze the benefits/cost of customization & operation. Negotiated technology capital and non-capital spending to develop the project's \$80M budget. Coordinated 3 rounds of Management review before securing Board's approval for the funding

SENIOR CONSULTANT FINANCIAL TECHNOLOGY | SIERRA SYSTEMS Toronto Canada

Jan 2007 – Jun 2009

- At CIBC BNY Mellon, led 5 ERP/BI specialists to confirm the solution requirement for 5 business streams (Finance, Treasury, Operations, HR/Payroll, Management). Created enterprise architecture, process flows and capability matrices for SOX reporting, SLA, RFQ, RFP then led the evaluation of proposals from 7 vendors for ERP, data warehouse and BI solutions
- At MANULIFE Derivatives Accounting, led 2 analyst/developer to develop the GAAP "Other Than Temporary Impaired" (OTTI) application to report from mainframe fair value, amortized cost, and unrealized gains/losses with disclosure on the nature of impairments for various fixed-income securities including government issues and private placements

SENIOR MANAGER PMO FINANCIAL CONTROL DIVISION | CIBC Toronto Canada**Jan 2005 – Dec 2006**

- Led the “Train the Trainer” and UAT for 4 control streams: financial reporting, operation control, legislative and general entity compliance. Managed the conversion of 4,000 SOX business/IT controls into OpenText Internal Control Repository
- Developed the “Internal Control Repository Tactical Solution” – a SQL Server-based application to store the assessment (test, deficiencies tracking, remediation) and assertion (exceptions, sign-off) of SOX controls from 200 business unit

GLOBAL EXPERIENCE**SENIOR CONSULTANT FINANCIAL TECHNOLOGY | XEG LIMITED Sydney Australia****Oct 2000 – Dec 2004**

- Applied the PMLC methodology to successfully lead 10 analysts and developers to construct in 1 year a comprehensive Australian-based online reporting facility in industrial health and safety for a group of 10 industrials. This enabled these *unionized* manufacturers to implement their exporting strategy, achieving a 20% increase in income of \$7.8M in 2 years

A. VICE-PRESIDENT APAC INITIATIVES | AMERICAN INT. ASSURANCE (AIG) Hong Kong**Sep 1996 – Apr 2000**

- Mentored 120 professionals from 5 countries to successfully launch AIG SUNAMERICA online wealth and brokerage, PHILAMLIFE credit card platform; APAC Customer Care (Call center & CRM, client/product BI); regional SIX SIGMA, re-engineering, workflow automation, and migration of mainframe-based insurance price engine to client-server
- Launched a platform for endowment, group pension in 40 cities in India and Vietnam; set up AS400 data centers in Chennai and Hanoi; directed TCS Chennai and AIDC Guangzhou to customize the Life applications for the new markets
- Set up the regional IT Program Management Office PMO to analyze, select, supervise and report a portfolio of \$100M of 100 initiatives in 15 countries. Institutionalized gated PMLC and SDLC, project intake, governance and risk management.

MANAGER DATA DATABASE TREASURY & FINANCE | AIDC Sydney Australia**Oct 1993 – Aug 1996**

- Implemented a multi-dimensional analytics system financial risk for debt & equity with capability to analyze syndication strategy and credit origination; decommissioned the WANG system for treasury and corporate lending in 2 years

MANAGER RE-ENGINEERING PRACTICES | PWC-PRICE WATERHOUSE Sydney Australia**Oct 1990 – Sep 1993**

- Designed then implemented a budgeting and roster application for 5,000 unionized staff at 56 branches and 84 service outlets. Configured PEOPLESOFT for HR/Payroll/AR/AP and GL for 15,000 individual accounts statewide
- For WESTPAC delivered a client-server based deal capture and position keeping for money market, currencies and derivatives. Led 5 traders, 20 testers and 7 vendors to UAT of key processes of pricing, trading, settlement and GL posting

TEAM LEADER SYSTEM DEVELOPMENT | NORISK DATA A/S Oslo Norway**Oct 1986 – Sep 1990**

- Led 5 developers to build a library for graphical ad booking and launch Scandinavia's first commercial ad booking system

ANALYST EXPLORATION DEVELOPMENT | ESSO NORGE (EXXON) Stavanger Norway**Sep 1984 – Sep 1986**

- Managed database of the North Sea projects financials and the Monte Carlo models of yield volatility of pipelined gas