**Hoang Vinh Nguyen**

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Manager IT Audit and Compliance

## Summary

* Technologist, certified IT auditor-accountant-project manager with 7 years in audit/compliance plus 13 years of IT program and application development/management at Fortune 50: AIG, PwC, CIBC, SCOTIA, MANULIFE and EXXON
* Auditing, compliance and Big 4 consulting experiences in policies/procedures development and control optimization for: IT Governance & Regulation, Information Security Governance, Business Systems/Data Architecture, Business Process Enablement, Systems Development & Acquisition, Program/Project Management and IT Service Management (ITSM)
* Mentored and delivered 10 SOX/MAR compliant initiatives with budget over $50 M for Application Modernization, Business Automation, SaaS/Cloud Implementation, Data Integration, Regulatory Compliance and Analytics in treasury, finance, capital markets, lending and life insurance & retirement in USA, Canada, Europe and Asia-Pacific/Australia

## Skills | Competencies

## Expertise in Risk Assessment, Control Design/Monitoring, Remediation Planning/Resolution and Audit Planning:

* Over 10 years of auditing SOX, COSO, COBIT, PCI-DSS, ITIL and Cyber Security at AIG, CIBC and AGNICO-EAGLES
* Proven success in establishing best practices with SIX SIGMA, Project Management (PMBOK, AGILE, SCRUM, gated PMLC), Business Analysis BABOK, Data Management DAMA- DMBOK, 12-Factor and AWS & AZURE Microservices design patterns

## Full Stack Competency in Cloud Computing, Data-Intensive Applications, Microservices and Machine Learning:

* Audit/DBA/system experience with: mainframe, UNIX, Windows as well as data, database, ETL/ELT technology: AWS (S3, EC2, EBS, VPC), HDFS, SPARK, KAFKA, MONGODB, ORACLE, SQL SERVER, NOSQL, BIG Data SQL, REST API and JSON
* Over 4 years consulting on CI/CD pipeline GITHUB, JENKINS, TRAVIS CI, AZURE DEVOPS TFS, DOCKER, KUBERNETES plus implementation experiences with RPA, SAP, CLEARWATER, SIMCORP, SUNGARD, ALGORITHMICS and JD EDWARDS
* Hands-on experience with frameworks: DJANGO, SQLALCHEMY, LUIGI DAG pipeline; analytics and data science libraries: PANDAS, NUMPY, SCIKIT-LEARN, TENSORFLOW; and programming language: PYTHON, R, JAVASCRIPT, SQL, JAVA, C/C++
* Expert knowledge of PROJECT, EXCEL, VISIO, POWERBI, TABLEAU, ACL and COGNOS

## Certification

* Chartered Professional Accountant (CPA Ontario) / Certified Information Systems Auditor (CISA) / Certified in Risk and Information Systems Control (CRISC) / Certified Treasury Professional (CTP)
* Certified Project Management Professional (PMP) / Certified Agile Practitioner (PMI-ACP) / Certified Professional Business Analyst (PMI-PBA)

## Education

* Graduate Data Science, completed credits: Bayesian Statistics / Advanced Python (Harvard Extension School)
* Executive Master Business Administration (Northwestern Kellogg-HKUST)
* Master of Science Statistical Physics (NTH Norway)

## EXPERIENCES

**MANAGER IT AUDIT FINANCIAL CONTROL | AIG** New York, New York USA **September 2015 – Present**

* Returned to AIG in an Audit Leadership/Transformation Role: Developed internal capabilities and procedures for SOX/MAR IT audit scoping, planning and walkthroughs; SSAE16 SOC 1-2 reviews; standard-based approach to review junior auditors work papers/ audit points; and year-end aggregation, analysis, reports of SOX results and significant control deficiencies. Test results over design and operating effectiveness of controls across 150 applications on AWS, mainframe, ORACLE and SQL Server are 100% relied upon by the external auditors for their end-of-year audit evaluation.
* Championed AGILE (early, continuous, full population) audit, automated testing, deficiency detection and frequent action-based recommendation to management by leveraging IT common processes for aggressive direct data ingestion and early analytics; showcased a LUIS machine learning proof-of-concept to test compliance on 100% of population of changes
* Partnered and provided SOX guidance on strategic programs from business case development to execution and internal control design: migration to CLEARWATER investment accounting/risk reporting, SAP-HANA EP, ARIBA, FIELDGLASS, BLUEPRISM/PEGA RPA, APPIAN Treasury Workflow, CI/CD AZURE TFS, SONIC, SAILPOINT, SPLUNK

**SENIOR COMPLIANCE CONSULTANT | EVOQ | LITCOM** Toronto, Canada **April 2014 – April 2015**

* Led 3 EVOQ system analysts/cyber security engineers to mentor National Commercial Bank of Jamaica (NCB) in the deployment of technology controls to support McKinsey’s Merchant Acquiring and Business Cards strategy, including the implementation and continued surveillance program of merchants’ PCI compliance
* Directed Continental Bank of Canada (CBOC) MIS through a 6-month OSFI certification process to obtain the banking license: 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 management

**MANAGER PMO RETAIL RISK & OPERATIONS | SCOTIA BANK** Toronto, Canada **October 2013 – April 2014**

* Implemented the REST API Retail Loan Platform (RLP) with 12 change requests in transaction monitoring for AML (Anti-Money Laundering)/ ATF (Anti-Terrorist Financing), which required 3 months extension of QA/UAT, involving 3 key lines of business (unsecured retail lending, insurance, finance) and 15 IT team leads (retail loan, insurance, sales, risk)
* Led 40 team leads from business (compliance, process optimization, retail deposit, call center, fulfillment/central accounting, data warehouse) and IT/QA&T (Scotia On-line, call center, AS400, mainframe) to redesign the online deposit, customer Non Face to Face (NFF) and call center processes for the core deposits and payments business

## MANAGER IT CONTROL & COMPLIANCE | CONTROL SOLUTIONS Toronto, Canada May 2013 – October 2013

* Performed AGNICO-EAGLES annual SOX certifications: audited the design and operating effectiveness of 80-plus SOX controls for ITGC (governance, WAN/LAN, virtualization, firewall, database, middleware, security monitoring, application, help desk) plus financial reporting controls in JD Edwards G/L, A/P and A/R, fixed assets, procurement, HR and payroll

## MANAGER SIMCORP TREASURY & ACCOUNTING | HOOPP Toronto, Canada November 2010 – January 2013

* Led $15 M program to support HOOPP Lean/Six Sigma initiatives with 7 project streams in accounting, equity, private equity and credit products for: financial accounting BI and data warehouse; fair value adjustment for swaps (equity, credit default and interest rate); equity basket options; corporate actions workflow for accurate dividends and splits
* 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

## MANAGER PMO FINANCIAL RISK | CIBC Toronto, Canada June 2009 – October 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, 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 and operation. Negotiated technology capital and non-capital spending to develop the project’s $80 M budget. Coordinated 3 rounds of management review before securing Board’s funding

## SENIOR CONSULTANT FINANCIAL SERVICES | SIERRA SYSTEMS Toronto, Canada January 2007 – June 2009

* At CIBC BNY Mellon, led 5 ERP/BI specialists to consolidate 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 7 vendors proposals 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

## MANAGER FINANCIAL IT CONTROL | CIBC Toronto, Canada January 2005 – December 2006

* Designed the Tactical Solution for the assessment (test, deficiencies, remediation) and assertion (exceptions, sign-off) of SOX controls from 200 business units; then expanded into bank wide automated Control Self-Assessment (CSA) system
* Directed the conversion/input of 4,000 SOX business/IT controls into the CSA system then led the “Train the Trainer” and UAT of 4 control streams: financial reporting, legislative, operations and general entity compliance

**SENIOR CONSULTANT FINANCE | XEG LIMITED** Sydney, Australia **October 2000 – December 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 $8 M in 2 years

## ASSISTANT VICE-PRESIDENT MIS | AIG Hong Kong September 1996 – April 2000

* Set up the regional IT Program Management Office PMO to lead a 3-year initiative with a portfolio of $100 M of 100 initiatives including the successful 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 data centers in Chennai and Hanoi; directed TCS Chennai and AIDC Guangzhou to customize the applications for the new Life Insurance markets

## MANAGER DATA DATABASE TREASURY & FINANCE | AIDC Sydney, Australia October 1993 – August 1996

* Implemented a multi-dimensional data warehouse for debt & equity financial risk with analytics capability for syndication strategy and credit origination; decommissioned the WANG database for corporate lending in 2 years

## MANAGER RE-ENGINEERING PRACTICES | PRICE WATERHOUSE Sydney, Australia October 1990 – September 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

## LANGUAGE PROFICIENCY

* English, French, Norwegian, Vietnamese