**oang Vinh Nguyen**

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Technology Manager Finance / Investments / Compliance / Automation

## Summary

* 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
* Proven success in SaaS implementation, process automation, risk, audit and PMO startup for Treasury, Finance, Capital Markets, Life & Retirement, Lending in USA, Canada, Europe, Asia-Pacific and Australia. Track record in 90+ cross-functional programs and rescuing missions with budget over $50M, multiple vendors for financial risk, SaaS back & front-office, digital value chain, financial data warehouse, regulatory compliance, new market entry
* Implementation experiences with key 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

## Achievement

## 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
* 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 and successfully rescued 10 high-profile projects of over $10M

## Delivered Industry-Compliant Application Modernization, 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. Modernized application platform for 7 risk areas over 5 asset classes from internal datawarehouse to Sungard risk system. 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
* Developed/deployed platform for automated SOX assessment & assertion of controls across 5 departments (operations, middle office, back office, finance, IT). Delivered bankwide self-assessment with repository of 200 SOX controls, assessments and testing from 500 key processes. Led the SOX auditing (methodology and audit findings fully disclosed to external auditors) of ITGC general control, IT dependent and Application Controls for Finance and Investments. Mentored the design, implementation of controls for 10 areas (IT governance, change, cyber security, etc.) to obtained OSFI certification for a Canadian bank

## Skills | Competencies

## Extensive Experiences in Implementing Governance, Business Analysis, Development and Data Management

* Successfully implemented AGILE, SCRUM, PMBOK and gated PMLC at Scotia, CIBC, AIG, PwC, Sierra Systems
* Solid experience with Project Management PMBOK, Business Analysis BABOK, Data Management DAMA- DMBOK
* Over 10 years consulting, auditing experiences with Sarbanes-Oxley Act SOX, COSO & COBIT framework, Six Sigma
* Consulting experiences with User Story, Workflow, Data Modeling, SIPOC, Process Map, VOP/VOC, DMAIC, UML, Go4, 12-Factor AWS & AZURE Microservices design patterns, Zachman framework, Information Engineering

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

* Command of technology frameworks (Django, SQLAlchemy, Luigi DAG pipeline), analytics and data science libraries (PANDAS, NUMPY. SCIKIT-LEARN, TENSORFLOW, PYTORCH), language (Python, R, Javascript, SQL, C++, Java, C)
* In-depth knowledge of data technology, including AWS (S3, EC2, EBS, VPC), HDFS, SPARK (Core, SQL, Stream), ETL/ELT, MongoDB, ORACLE, SQL SERVER, NoSQL, Big Data SQL, Rest API, XML, HTML
* Over 4 years consulting on CI/CD pipeline GitHub, Jenkins, Travis CI, AZURE DevOps (TFS), Docker, Kubernetes
* Implementation experiences with RPA, SAP, CLEARWATER, SIMCORP, SUNGARD, ALGORITHMICS, JD EDWARDS
* Expert knowledge of Microsoft Project, Excel, Visio, PowerBI, Tableau, ACL, Cognos

## Certification

* Bayesian Statistics for Data Sciences (Harvard Extension School Graduate Program)
* Advanced Python Programming for Data Sciences (Harvard Extension School Graduate Program)
* Chartered Professional Accountant (CPA Ontario)
* Certified Treasury Professional (CTP)
* Certified Information Systems Auditor (CISA)
* Certified in Risk and Information Systems Control (CRISC)
* Certified Project Management Professional (PMP)
* Certified Agile Practitioner (PMI-ACP)
* Certified Professional Business Analyst (PMI-PBA)

## Education

* Executive Master Business Administration (Northwestern Kellogg-HKUST)
* Master of Science Statistical Physics (NTH Norway)

## EXPERIENCES

**MANAGER FINANCIAL CONTROL | AIG** Wilton NYC USA **September 2015 – Present**

* Championed AGILE auditing - early, continuous and full population risk assessment – by show casing 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 of application changes
* Partnered with business/IT in major financial/investments 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
* Developed capabilities for 100% insourcing SOX/MAR auditing including the documentation and testing of controls across 150 applications in Finance, Treasury, Actuarial and Risk. Audit methodology and findings are fully shared with external auditor

**SENIOR CONSULTANT BANKING STRATEGY | EVOQ | LITCOM** Toronto Canada **April 2014 – April 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 **October 2013 – April 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 – October 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 & ACCOUNTING | HOOPP Toronto Canada November 2010 – January 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, 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

## SENIOR MANAGER PMO BASEL | 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 & 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 FINTECH | SIERRA SYSTEMS Toronto Canada January 2007 – June 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 | CIBC Toronto Canada January 2005 – December 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 Tactical Solution to store the assessment (test, deficiencies tracking, remediation) and assertion (exceptions, sign-off) of SOX controls from 200 business unit. This was the prototype for the bank’s final CSA & Internal Control Repository

**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 $7.8M in 2 years

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