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| **Hoang V (Vinh) NGUYEN**  Data Sciences (Graduate), M.Sc. (Physics), EMBA, CPA, CISA, CRISC, CTP, PMP, PMI-BA | M: +1 (203) 726-1711  [Nguyen\_H\_Vinh@yahoo.com](mailto:Nguyen_H_Vinh@yahoo.com) |

**Technology Manager Project Specialist in Finance, Analytics, Compliance, Risk & Control**

## Technology Management and Leadership

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| * 20-plus years of senior management experience in IT initiatives at banks & insurance in financial risk, SaaS back & front-office adoption, digital value chain, risk and investment data warehouse, PMO startup, regulatory compliance with graduate degrees in mathematics, data sciences, accounting | * Proven success in business process, IT risk and audit for Treasury, Finance, Capital Markets, Life & Retirement in USA, Canada, Asia-Pacific and Australia * Progressive career from analyst to senior appointment at Fortune 50: AIG, PWC, CIBC, SCOTIA, Manulife, CIBC Mellon |
| * Managed 90+ consulting projects and rescuing missions in Capital Markets, Financial Risk, Finance, Treasury, Collateral Managent, Deposits, Payments, Merchant Acquiring & Cards, Lending, Wealth, Life, Property & Casualty | * Track record in managing/ reporting scope, risk, time, cost, resources and quality in portfolios/programs exceeding $50M, 10 concurrent projects and teams of 120 FTE’s/ 20 vendors * 10+ professional designations, incl. CPA, CTP, CISA, PMP |

**Program/ Project Management, Governance and Management Consulting**

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| * Delivered $80M 3-year upgrade risk system for $2B reduced Regulatory Capital; $6M 2-year financial system integration for 1,300 employees; IT deployment for 120% APAC expansion * Converted Accenture’s strategy into a 5-year corporate plan for 9 initiatives supporting 4 x $70M objectives then delivered projects and benefits across 15 APAC countries * Led a 7-month requirements project to convert McKinsey’s payment strategy into detailed roadmap for Jamaica’s leading bank (EMV compliance, co-branding programs with retailers and families of card re-segmentation) * Spearheaded IT in a 3-year business process improvement and Six Sigma initiatives in Life and Property & Casualty; integrated processes for reserve management, pricing, investment, claims, agency, business development, call centre and CRM | * Achieved OSFI certification to get banking license by designing and implementing SOX, COBIT, ITIL and ISO/IEC controls across 10 areas of IT governance, portfolio/ change/ vendor/ configuration/ operations management, information security, * Consolidated 7 risk data areas, 400 requirement groups for 20 key risk reports, resulting in 20 conceptual Data Models and 20 ETL/data feeds groups for BI / data warehouse across 5 business units/ 7 stakeholders * Designed/ developed SOX-compliant processes for 5 divisions (operations, middle office, back office, finance, IT) with over 200 members/ staff and over 4,000–related SOX controls * Developed e-services strategy for a group of 10 Australian unionized industrials to augment their combined export of $50M to 20 countries in Asia and Middle East |

## Financial Technology Analysis, Deployment and Management

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| * Delivered 7 concurrent project streams in accounting, equity, private equity and credit products for Treasury and Finance at North America’s largest private pension fund * Consolidated 500 high-level groups of BASEL requirements for 6 work streams (market risk, trading credit risk, operational risk, analytics, data and technology) for a major bank leading to the decommissioning of 80% of its legacy risk systems * Documented and reviewed 10 groups of revenues generating processes (forex, net interest income, securities lending, custody and trust) and treasury’s Payments & Bank Communications, Cash & Liquidity, Investments and Financial Risk at a major asset manager for SOX and ERP solution selection | * Consolidated 7 risk data areas encompassing market/ credit/ operational risk’s 400 groups of risk reports, resulting in 20 conceptual Data Models and 20 data feed groups from 35 source systems covering 5 asset classes (Commodity, Credit Spread, Equity, Foreign Exchange, Interest Rate) * Converted McKinsey’s payment strategy into detailed roadmap for Jamaica’s national bank to comply with EMV, launch co- branding programs and re-segment 7 families of card * Spearheaded Asia Pacific leading insurer’s IT in a 3-year lean/Six Sigma initiatives in Life insurance to integrate processes for reserve management, pricing, investment, claims, agency, business development, call center and CRM |

## IT Risk & Control, Compliance and SOX Auditing

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| * Led the testing and collaboration with external auditor on the SOX auditing of IT General Control and Application Controls at AIG Finance, Investments and Corporate * Designed and developed CIBC platform for automated SOX assessment and assertion of controls for processes across 5 departments (operations, middle office, back office, finance, IT) | * Obtained OSFI certification for a local bank by mentoring the design, implementation of controls for 10 areas (IT governance, change, cyber security, etc.) * Tested and evaluated SOX IT controls for NYSE-listed AGNICO-EAGLE. SOX documentation include design, test plan/results, process flowcharts in finance and IT * Evaluated, designed and implemented IT and project controls based on Sarbanes-Oxley Act (SOX), COSO, CobiT, ValIT, CMM, RiskIT, ISO 27001/27002, ISO 22301:2012 (BCP), SANS as well as IFRS, GAAP, BASEL |

## Project Management, Business Analysis, Application & Data Methodology & Architecture Competency

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| * AGILE, SCRUM, PMBOK and gated PMLC methodologies from Scotia, CIBC, AIG, PwC, Sierra Systems * Requirements Management Life Cycle, Business Analysis (BABOK), Data Management (DAMA- DMBOK) * Internal controls COSO & COBIT framework, ITIL | * Business Analysis tools (user story, workflow, use case, data modeling, SIPOC, process map, VOP/VOC) * Architecture 12-Factor AWS & AZURE Microservices design patterns, Zachman framework, Information Engineering * Outsourcing models, RFQ, RFP, SLA, OLA, service catalogues |

## Application Development & Delivery, Data Technology, Machine Learning Competency

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| * Framework/Tools Django, SQLAlchemy, Luigi DAG pipeline * Library: DASK parallel computing, PANDAS, NUMPY. SCIKIT-LEARN, TENSORFLOW, PYTORCH, ASP.NET * AWS (S3, EC2, EBS, VPC), SPARK (Core, SQL, Stream), MongoDB, ORACLE, SQL SERVER | * Programming Python, R, Javascript, SQL, C++, Java, C * CI/CD pipeline GitHub, Jenkins, Travis CI, AZURE DevOps (TFS), Docker, Kubernetes * ERP SAP, CLEARWATER, SIMCORP, SUNGARD ADAPTIV, JD EDWARDS, PEOPLESOFT, ALGORITHMICS * Project, Excel, Visio, PowerBI, Tableau, ACL, Cognos |

## Professional Qualifications

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| * Data Sciences, ongoing (Harvard Extension) * Executive MBA (Kellogg-HKUST) * MSc Statistical Physics (NTH Norway) * Chartered Professional Accountant (CPA) * Certified Treasury Professional (CTP) | * Certified Information Systems Auditor (CISA) * Certified in Risk and Information Systems Control (CRISC) * Certified Project Management Professional (PMP) * PMI Agile Certified Practitioner (PMI-ACP) * PMI Professional in Business Analysis (PMI-PBA) |

CPA, CMA Chartered Professional Accountant. The Institute of Chartered Accountants of Ontario

PMI-ACP PMI Agile Certified Practitioner, Project Management Institute

**Technology Strategic Planning**• Develop an organization’s IT strategy aligned with its business strategy • Identify technology requirements for an organization • Define strategies and prioritize options for mitigating risk to employees, systems, and technology, and keep up with emerging technology  
2) **Information Systems Management**• Establish and maintain information technology policies that support business goals and objectives • Develop risk management processes • Ensure that services provided by other enterprises, including outsourced providers, are consistent with established information technology policies  
3) **IT Architecture**• Evaluate needs and select appropriate infrastructure • Examine an organization's adherence to and use of accepted protocols, standards and enabling technologies as part of its communications, connectivity, applications integration and application deployment • Develop business rules and procedures for IT architecture to ensure compliance with an organization's IT policies  
4) **Business Process Enablement**• Document an organization’s business processes • Identify key business processes and the technological barriers or enablers of these processes • Evaluate the impact of technology and business trends on key business processes • Reengineer key business processes  
5) **Systems Security, Reliability, Audit and Control**• Develop procedures and policies to ensure that business processes are designed to minimize security risk • Develop and maintain disaster recovery and contingency plans • Participate in internal audits of systems (e.g., data controls) • Ensure that services provided by outsourced providers are consistent with the organization's security policies • Develop or monitor redundancy and backup strategy  
6) **System Development, Acquisition and Project Management**• Identify high-level business requirements • Integrate security requirements into system development and acquisition activities • Perform needs analyses  
7) **IT Governance and Regulation**• Obtain senior management commitment and support for IT throughout the organization • Identify current and potential legal and regulatory issues affecting IT, and assess their impact on the enterprise • Establish and maintain information technology policies that support business goals and objective

**API Product Owner**

Marry existing business capabilities and strategic goals to identify and design RESTful APIs that allow internal and external developers to seamlessly interact with AIG Group Retirements services.

Work cross-functionally within AIG to build a cohesive roadmap to realize ambitious goals and strategic priorities around enabling our API first approach.

Take ownership of the API landscape and define a roadmap for future capability that considers both the existing technology landscape as well as the future direction.

Gauge progress against defined performance measures both monthly and quarterly to assure alignment while identifying any needed changes affecting the channel, business or product strategy.

Leverage your own experience as well as market insights and evolving best practice patterns and practices to ensure the APIs are business-oriented, embed robust security and are easy to use and understand.

Develop and lead a light, but appropriate, governance model that ensures consistency with the roadmap, enabling a broad set of teams to continue to grow and change the APIs as the business and industry changes.

Passion for the naming of things and are adept at leveraging domain appropriate language to define programming interfaces.

Proactively engage with implementation teams to encourage and promote use of existing models, methods, services and other artifacts and capabilities resulting in increased speed of technology solution delivery, making such delivery more predictable and increasing the overall re-use of technology components.

Experience defining and leading the delivery of an API portfolio that is consumable by both internal and external parties. (Experience with a leading financial services organization is a plus).

Experience leveraging third-party technologies that support an API architecture.

Experience in a leadership role during a business transformation that heavily leveraged technology.

Experience with API management and operations using CI/CD pipeline with tools such as Swagger, GitHub, Maven, Jenkins, JMeter, SonarQube, CloudFoundry, Kubernetes etc.

Experience with microservices design patterns and 12 factor application methodology.

Experience with public cloud providers.

Strong knowledge of and experience in financial services, including marketing, products and current industry trends

Hands on experience with agile, including being able to coach and mentor team members

Understanding of user centric design in business, marketing, IT or equivalent preferred

Demonstrated ability to drive results

Strong/expert background in analytics with demonstrated ability to synthesize data from multiple sources into meaningful conclusions and actionable strategic plans that support business objectives

Ability to understand and communicate technical requirements and design across, engineering, design and QA

Clear understanding of digital technology and consumer trends

Expert knowledge of the defined contribution retirement market, including marketing, products and current industry trends

Excellent written and verbal communication skills, including strong presentation skills that

can explain technical concepts for non-technical audiences

**Program Manager**

Enforce compliance of schema and business rules quality across the catalog

Research schema standards, create best practices guidelines and provide necessary training to execute

Manage the intake, intake, and prioritization of requests for metadata and business rules and coordinate implementation by multiple develop/support/operations teams

Perform audits of catalog schema and business rules on a regular schedule to ensure adherence to defined parameters

Analyze and fix inconsistencies of existing metadata and business rules

Manage the “How To” guidelines and policies that need to be adhered to in order to ensure the business and support organization are managing catalog configurations correctly

Partner with stakeholders across the company to understand their catalog configuration needs and use cases and help align their needs with solutions and oversee governance of the data modeling and catalog business rule customizations

Drive programs and process improvements using metrics, generate progress reports and conduct ad-hoc quantitative and qualitative analysis as needed

Effectively manage complex cross functional projects, dependencies and bottlenecks, provide escalations management, anticipate and make trade-offs, balance the business need versus technical constraints and minimize business benefit while building

great customer experience

Use problem solving and analytical skills to solve business problems and drive process improvements

Gather and analyze large amounts of data and deliver continuous business improvements

Serve as a bridge between business need and technical implementation

5+ years of relevant work experience in program and/or product management with product data governance or data management

Bachelor’s degree required or equivalent work experience

Effectively manage cross functional projects, dependencies and bottlenecks, provide escalations management, anticipate and make tradeoffs, balance the business need versus technical constraints and minimize business benefit while building great customer experience

Experience using problem solving and analytical skills to solve business problems and drive process improvements

Experience gathering and analyzing large amounts of data and delivering continuous business improvements

Serve as a bridge between business need and technicalimplementation

Written and verbal communication skills. Ability to work effectively with tight deadlines in a fast-paced environment

Proven ability to manage multiple, competing priorities simultaneously

An ability to effectively develop key processes and procedures that facilitate efficient

Demonstrated ability to understand and discuss technical concepts

Experience communicating with technical and non-technical stakeholders across multiple business units

The ability to align efforts of disparate groups to achieve a common goal

Experience with agile or other program management methodologies

Tenacity, diplomacy, and a sense of humor

Experience working with remote teams

Experience working with engineering or software development teams

Track record of being detail oriented with a demonstrated ability to self–motivate and follow through on projects

PMP or similar certification

Belief in the value of participating in, and contributing to a collaborative team environment

Demonstrated ability to anticipate and manage change in a highly dynamic environment

Demonstrated ability to work in ambiguous situations and across organizational boundaries

**Manager Financial Services Compliance**

• Participate in business case development, project goal creation and analysis, and in the creation of execution plans for achievement • Manage project scope, schedule, and resources • Create strategic development plans for identified opportunities and ensure these plans are in line with the AWS strategic direction • Execute tactical development plans while working closely with internal stakeholders including compliance specialists, security assurance, public policy, business development managers, sales teams, solution architects, professional services and support teams, legal and contract teams, and the AWS service teams • Identify and manage risks, resolve issues, and escalate where appropriate to drive projects to successful completion • Understand the unique technical and regulatory requirements of financial services customers and work closely with the internal development teams to guide the direction of our product offerings for our largest and most complex customers • Develop industry leading compliance related, customer-facing resources based on projected customer needs and current demand. • **7-10 years Project Management / Engagement Management consulting experience managing enterprise level Compliance, Risk, Governance or IT projects in the financial services industry** • Demonstrates ability to plan, organize and manage all phases of a project lifecycle to ensure successful delivery. This includes developing and managing project governance plans, project schedules, team goals and success criteria, and project milestones. Also includes ownership and responsibility to manage issues, risks, decisions and the overall success of a project. • **An understanding of the Financial Services compliance landscape and the systems that customers use**. • A team player who effectively integrates, motivates and builds relationships with cross-functional team members, sponsors, key stakeholders, executives, and other individuals or organizations involved with or affected by the project. • Demonstrates the ability to understand the operating styles of others as well as team relationships, team dynamics, and adjusts behavior accordingly to succeed. Recognizes environmental or cultural nuances and adapts. • Ability to challenge, recommend and redirect teams as necessary for successful program and project delivery. • Actively looks for ways to improve process efficiencies and effectiveness. • Takes proactive steps to ensure teams meet or exceed expectations. • Ability to demonstrate experience to successfully manage two or more concurrent projects. • Experience leveraging formal project management methodologies • Possesses a deep knowledge of project management best practices and how to apply them in an effective yet pragmatic way across complex projects. • A history of increasing leadership responsibility and career growth in project management. • Outstanding written and verbal communication skills with team members and audiences of all levels. Plans and oversees the preparation and dissemination of project communications. • Competency in Microsoft Office suite and project management toolsets.

**Software Engineer Strategy**

Have a solid background in software development and engineering

Have a demonstrated track record in managing project deliveries to demanding timelines.

Experience with the software development management applications (e.g., Altasian suite, Jira esp., or like systems) a plus

Be able to help the Tech Lead maintain and develop the computational and network environment supporting the Public Equities Strategies Group, and be familiar with both Windows and Unix (Linux, Ubuntu, …), enterprise LANs or AWS

7-10 years commercial development experience, 4+ years in a bank, asset management or financial software (e.g., Bloomberg) environment

Deep expertise in Python and relevant packages (Pandas, SciPy, NumPy, etc.)

Some proficiency with web-based technologies (http, rest, html, JavaScript) needed

Fluency with SQL and database design

Proficiency with Java, C#, Matlab, R, Spark, or Tensorflow, etc. a plus

High academic achievement including concentrated coursework in both computer science/software engineering and a quantitative field (engineering, mathematics, statistics or hard science

**Software Development**

•Provide technical leadership and guidance to other software engineers

•Ensure adherence to cross functional strategic direction

•Accountable for large cross functional technical deliverables

•Analysis and Design of Application Interfaces & Integrations

•Analysis and Design of New Web and Mobile Applications & Refactoring existing code

•Development of Specified Designs & Delivery of Integrated Unit Testing

•Maturing a DevOps methodology & continuous focus on improvement

•Maturing of Design and Development practices (TDD, CI/CD etc.)

•Technical project leadership, focus on practical & effective Design & Development

•Training and Mentoring with Teammates continually looking to grow and mature the team

•Maturing the software engineering practice through creation and adoption of the latest best practices and standards

•Knowledge of various SDLC methodologies Agile, Iterative, Waterfall

**Data Manager**

* Assists in the design, testing, implementation, maintenance and control of the enterprise Big Data databases (aka Cornerstone) across the ecosystem
* Working with members across multiple System of Records, Business Unit Data Ingestion teams, and Organized Derived layer data stewards and custodians.
* Cornerstone (CS) Database is the Enterprise Data platform designed to facilitate production applications, advance analytics and democratization of enterprise level data to users through self-services tools and utilities.
* A Central Data management team defines standards, reviews artifacts and certifies data feed setup ensuring Data Ingestion(DI) and Organized Derived Layer(ODL) teams adheres to platform standards and governance needs for meta data, data partitioning, data schema, data lineage, data quality and provides comprehensive data support functions to ensure usability of data for driving innovation and growth across the platform.
* This position will play a key role under Cornerstone central data management team and will be responsible to define, create and manage processes and frameworks to drive data management strategy leveraging automation (Machine Learning and AI based) solutions for systematic, monitoring and review for driving governance with transparency for all data movements across Cornerstone eco-systems.
* The person in this role, will be responsible for defining standards and drive automation for systematic review in area such as meta data quality measurement, data lineage,
* Drive ownership of end to end data management process and ensure the database standards are set and met in the Cornerstone Database at time data ingestion, consumption in both Batch/Real time environments
* Collaborating with CS Capabilities teams , Infrastructure and Business team(s) to implement effective data management strategies and optimize platform performance
* Identifying opportunities to enhance process efficiency through increased standardization , automation and top class customer servicing
* Performing analysis of data and key CS Process evaluation for performance uplift , operation excellence and implementing effective risk mitigation controls
* Support strategic projects to implement efficiencies and drive economies of scale
* Provide visibility and develop analytical tools to support data governance initiatives across the ecosystem
* 5+ Years of experience in Big Data strategy, and enterprise data management
* Exposure to Programming Knowledge (e.g. Hive, SQL, Unix, SaS etc.)
* Willingness to learn New Tools & Programming Languages.
* Good Understanding of payments industry & data management will be a plus.
* Degree in Engineering, Math, Statistics, Economics or similar quantitative field and/or relevant experience preferred
* Strong knowledge of Big data enterprise architecture & integration with data mining/analytical tools preferred.
* Knowledge of Hadoop, HDFS, HIVE, Spark, SQL
* Ability **to incorporate Machine Learning /AI frameworks** for driving system automation

**Data Engineer**

Implement Database Development best practices and standards.

Own data pipelines, features and data assets from the development phase through to production deployment.

Make database/data warehouse design choices, including hardware, relational database management systems, ETL.

Architect and build distributed, scalable, and reliable data pipelines that ingest and process

data at scale and velocity.

Experience in hands-on SQL role (be able to work with structured data at all stages of data management lifecycle).

Strong data warehouse analysis and design experience with full knowledge of data warehouses methodologies and data modeling.

Experience in working with schema-free data.

Advanced SQL, RDBMS knowledge (e.g. SQL Server, Oracle, DB2, DynamoDB, Postgres, RedShift).

Solid ability to program in Python.

Prior experience with scripting languages such as Perl or shell scripts is a plus.

Familiar with Big Data ecosystem (e.g. Hadoop, Spark, Hive) is a plus.

Experience with cloud services (specifically in AWS): EC2, S3, VPC, ELB, RDS, Glue, etc.

Experience in deploying applications on to their respective environments using Elastic Beanstalk.

Experience with event-driven and scheduled AWS Lambda functions to trigger various AWS resources.

Experience working with Glue.

Experience building REST APIs.

Experience with data streaming and micro-batching.

Solid understanding of algorithms and data structures.

Experience in feature engineering for Machine Learning applications.

Familiar with Open Source/ commercial database management tools.

Familiarity with Continuous Deployment pipelines and configuration (e.g. Jenkins, Chef, Docker,Puppet,SaltStack,Ansible).

Ability to handle complex semi-structured data (XML/HTML) is a big plus.

Exposure to Netezza, Exadata ecosystem.

Experience with some types of NoSQL database.

Broad understanding of either General or Life Insurance Market/ Products data/business domains.

Broad understanding of Financial Services/Capital Markets/Asset Management .

Basic statistical computing background.

Knowledge of SOA, Graph Database, CI/CD Pipeline, monitoring & alert would be a plus point.

**Data Developer**

Build data repository to manage asset and vulnerability inventories.

Build data-analytic solutions leveraging technologies including Hadoop, Tableau/Qlikview, SQL Server, or Python.

Develop automation/API capabilities directly with security scan tools to improve ingestion speed securely.

Improve the data quality of asset inventories though data enrichment processes.

Implementing data rules and methodologies to ensure accurate, consistent, and repeatable vulnerability management reporting.

Build data repository to manage asset and vulnerability inventories;

Build data-analytic solutions leveraging technologies including Hadoop, Tableau/Qlikview, SQL Server, or Python.

Develop automation/API capabilities directly with security scan tools to improve ingestion speed securely.

Improving the data quality of asset inventories though data enrichment processes.

Implement data rules and methodologies to ensure accurate, consistent, and repeatable vulnerability management reporting

Ability to lead a Security Analytics and Reporting team leveraging an Agile methodology

Ability to concentrate on a wide range of loosely defined complex situations, which require application of creativity and originality, where guidance and counsel may be unavailable

Ability to manage multiple priorities given aggressive timelines; comfortable performing in a fast paced, dynamic and ambiguous business environment

Experience with data-analytic solutions leveraging technologies including Hadoop, Tableau/Qlikview, SQL Server, or Python

**Technical Lead – Data Analytics**

Bachelor's Degree in Computer Science, Finance, Engineering, Math, Physics, Economics and other related technical disciplines.

Experience in waterfall and Agile methodologies.

Experience with the full development life cycle of an application stack - from architecture through test and deployment.

Ability to handle multiple priorities and adapt to a constantly changing environment.

Self-starter with the ability to work independently and take initiative.Ability to translate ideas and business requirements into business & feasible technical solutions.

Strong skills in SQL and proven experience working with Hadoop distributions.

Deep understanding of database and analytical technologies in the industry including MPP databases, noSQL storage, Data Warehouse design, BI reporting and Dashboard development.

Experience of Data modeling, ETL/ELT / Talend Enterprise Big Data Tools

Experience of Big Data toolsets – Hadoop, Yarn MapReduce, Spark, Sqoop

Experience with key reporting solutions including Cognos, Qlikview and/or other industry leading reporting solutions.

Strong analytical skills; ability to analyze raw data, draw conclusions, and develop actionable recommendations.

**Technical Skills**

MVC.Net, Java, JavaScript, REST, APIs, Docker, CI/CD, Big Data, Jenkins 2.0, Jira, GitHub,

## Specialist in Governance, Risk & Control of Financial Processes, Applications & Technology

## Specialist in Governance, Risk & Control, Compliance of Financial Processes, Applications & Technology

## Full-Stack Compliance Analytics, Finance, Investments, Strategy and Technology Projects

## Full-Stack Technologist Investments, Finance, Compliance, Analytics, Project Management

## Technology Project Specialist in Finance, Investments, Analytics, Compliance, Risk & Control

## Management and Leadership

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| * 20-plus years of experience in IT risk management, control design, implementation, monitoring and maintenance * Focus on compliance of intelligent automation in business process management (BPM), robotic process automation (RPA), and artificial intelligence (AI) | * Consulting success in business process, IT risk and operations for Treasury, Finance, Capital Markets and Regulatory Compliance at CIBC, Manulife, CIBC Mellon, AIDC * Progressive career from business analysis to program/project management and senior management appointment at Fortune 500 including AIG, Price Waterhouse, CIBC, SCOTIA |

## SOX Auditing, IT Risk and Control

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| * Led the testing and collaboration with external auditor on the SOX auditing of IT General Control and Application Controls at AIG Finance, Investments and Corporate * Designed and developed CIBC platform for automated SOX assessment and assertion of controls for processes across 5 departments (operations, middle office, back office, finance, IT) | * Obtained OSFI certification for a local bank by mentoring the design, implementation of controls for 10 areas (IT governance, change, cyber security, etc.) * Tested and evaluated SOX IT controls for NYSE-listed AGNICO-EAGLE. SOX documentation include design, test plan/results, process flowcharts in finance and IT |

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## Project Management Competency

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| * Expert with PMBOK and gated PMLC methodologies from Scotia, CIBC, AIG and PwC * Extensive knowledge of Requirements Management Life Cycle, BABOK and DMBOK (DAMA) | * Expertise in Outsourcing Model and vendor policies and procedures (P&Ps), RFQ, RFP, SLA, OLA, service catalogues, * Experiences with Business Analysis tools (user story, workflow, use case, data modeling, SIPOC, process map, VOP/VOC) |

## Development and Technology Competency

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| * Analytics: power user of R, Python, Access**,** Project, Excel, Word, Visio * Expert in SQL, ETL, data architecture, data warehouse, analytics (ACL, Tableau, PowerBI, Cognos) * Expert in evaluating, planning and deploying ERP Treasury, GL, HR, AR, AP (Peoplesoft, J.D.Edwards, SAP, SIMCORP) * Expert in SDLC including technology governance, security threat risk assessment, operational gating, architecture, testing | * Experiences with developing web/ mobile applications using HTML5, CSS3, JavaScript, Jquery, ASP.NET MVC, Web services (REST, SOAP) * Experiences with Application Lifecycle Management (ALM) using SharePoint, Team Foundation, Visual Studio * Experiences with cloud and infrastructure (server, database, middleware, LAN/WAN) from LAMP, WAMP, AWS, AZURE, GOOGLE, IBM, Oracle |

## Professional Qualifications

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| * Executive MBA (Kellogg-HKUST) * Master of Science in Statistical Physics (NTH Norway) * Chartered Professional Accountant (CPA) * Certified Treasury Professional (CTP) | * Certified Information Systems Auditor (CISA) * Certified in Risk and Information Systems Control (CRISC) * Certified Project Management Professional (PMP) * PMI Agile Certified Practitioner (PMI-ACP) |

## Actively Pursuing Qualifications

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| * Data Science Graduate Certifications (Harvard) * DEVOPS (Microsoft, EDX) * BLOCKCHAIN (IBM, EDX) | * Big Data (COURSERA, EDX) * Cloud Computing (COURSERA, EDX) |

**Program- Project Manager/ Governance Consultant/ Management Consultant**

**Management and Leadership**

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| * 20-plus years of excellence in delivering and consulting on enterprise-wide initiatives: new markets entry, PMO start-up, IT governance, system integration, migration and replacement * Managed 78 consulting projects and rescuing missions in Capital Markets, Financial Risk, Finance, Treasury, Collateral Managent, Deposits, Payments, Merchant Acquiring & Cards, Lending, Wealth, Life, Property & Casualty and public services | * Track record in managing/ reporting scope, risk, time, cost, resources and quality in portfolios/programs exceeding $50M, 10 concurrent projects and teams of 120 FTE’s/ 20 vendors * Worked with C-level executives and Board of Directors; built consensus with senior leaders, management and staff; expert in team motivation, mobilization and building complex relationships among business lines, internal staff and vendors |

**Program/ Project Management, Governance and Management Consulting**

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**Business/ Technology Skills and Knowledge**

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| * Excellence in requirements delivery for extensive business process change for regulatory compliances, new financial reporting platforms, legacy decommissioning, new services, infrastructure upgrades and deployments * Success in PMO start-up and mentoring project managers to raise the IT capability maturity level within 1 year * Expert with PMBOK and gated PMLC methodologies from Scotia, CIBC, AIG and PwC * Extensive knowledge of Requirements Management Life Cycle, BABOK and DMBOK; BPM, SOA, BA tools (workflow, user story, use case, data modeling), Six Sigma (SIPOC, process map, VOP/VOC) and artifacts (business case, business analysis plan, stakeholder matrix, solution assessment, transition requirements, budget (CAPEX, expenses & expected benefits) * Success in vendor selection/ contract negotiation/ management for COTS implementation and application development; expertise in RFQ, RFP, SLA, OLA, TLA, service catalogues, Outsourcing Model, vendor policies and procedures * 15-plus years as power user of MS Project, Excel, Word, PowerPoint, Visio | * Evaluated, designed and implemented IT and project controls based on Sarbanes-Oxley Act (SOX), COSO, CobiT, ValIT, CMM, RiskIT, ISO 27001/27002, ISO 22301:2012 (BCP), SANS as well as IFRS, GAAP, BASEL * Expert in evaluating, planning and deploying best-of-breed back office: SIMCORP; ERP J.D.Edwards GL, HR, AR, AP, Treasury; Portfolio, Program and Project (PPM): CA Clarity, PLANVIEW, PRIMAVERA * Expert in SDLC including technology architecture, governance, security threat risk assessment, operational gating plus Application Lifecycle Management (ALM) using SharePoint, Team Foundation, Visual Studio * Experienced with developing web/ mobile applications and digital channels using HTML5, CSS3, JavaScript, Jquery, API, ASP.NET MVC, REST, SOAP; data applications, BI, ETL, data warehouse, ), SAS, Cognos, Datastage, Informatica, data analytics: SQL, XML, OLAP Cube, BISM, HDInsight, Microsoft BI (SSIS, SSRS, SSAS; compliance requirements for cloud and infrastructure (server, database, middleware, network) from Microsoft, LAMP, IBM, Oracle |

**Professional Qualifications**

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| --- | --- |
| * Executive MBA (Kellogg-HKUST) * Chartered Professional Accountant (CPA CMA) * Certified Project Management Professional (PMP) * PMI Agile Certified Practitioner (PMI-ACP) * PMI Professional in Business Analysis (PMI-PBA) | * Master of Science in Physics (NTH Norway) * IT Services Management Certificates (ITIL) * Certified Information Systems Auditor (CISA) * Certified in Risk and Information Systems Control (CRISC) * Certified Treasury Professional (CTP) |

## PROFESSIONAL EXPERIENCE

**SENIOR AUDITOR SOX Financial Control | AIG** Wilton USA **Sep 2015 – Present**

* + Developed Proof-of-Concept for machine learning-based sentiment analysis to inform and improve human decision making and to augment AIG auditing capability in terms of scope and capability and eliminate manually intensive processes, while partnering with AIG business in their drive to adopt robotics and analytics
  + Liaised with external auditor while streamlining the SOX audit Process by aligning the inventory of test plans against the corporate risk and AIG new business initiatives/ changes (organizational, process, technology) across SOX/MAR applications: transitioning of treasury functions to Dublin (Ireland) and SAP support to Manila (Philippines), data center consolidation, aggressive virtualization strategy, migrating to public and private cloud technology (AWS, Azure)
  + Completed the 100% transition from external consultants (EXL) to AIG onshore/offshore staff – Fully internalized the planning and testing of 20+ controls and 50 test plans across 150 SOX applications in Corporate Business (Finance, Actuarial, Risk, Treasury)

**SENIOR CONSULTANT / PROGRAM MANAGER | EVOQ** Toronto Canada **Oct 2014 – Apr 2015**

* + Led a team of 3 EVOQ senior business analysts to coordinate with National Commercial Bank of Jamaica (NCB)’s 6 business units (Product Development, Business & Channel Analysis, Fraud Manager, Operations, IT and Finance) in order to translate McKinsey’s Merchant Acquiring and Business Cards strategy for NCB into an actionable 5-year IT and products roadmap; directed an intensive 2 month-requirement elicitation and analysis to detail NCB challenges and opportunities in the card business, resulting into 5 comprehensive models (scope, process, rule, data and interface) and 5 scenarios complete with benefits, costs, risks and high- level project schedules for co-branding initiatives with retailers
  + Led NCB’s Finance, Operations and IT in crafting and seeking approval for a time-sensitive program to ensure EMV (“Europay- MasterCard- Visa”) compliance. The program aligned 3 project streams: replacement of 3 Million credit- debit- prepaid cards; certification of 20,000 POS terminals and 300 ABMs; and IT development (EMV/ACH functionalities, reporting and interfaces for TSYS PRIME 4, Oracle GL, CRM, and FINACLE). Developed a business case for $20 Million in budget with payback of 1.5 years from 80% fraud reduction and incentives (liability shift avoidance and Interchange Reimbursement Fee (IRF) reductions)

## SENIOR CONSULTANT / PROGRAM MANAGER | LITCOM Toronto Canada Jul 2014 – Jan 2015

* + Led Continental Bank of Canada (CBOC)’s IT team of 10 specialists to comprehensively assess the IT control environment using COBIT, PCI-DSS, ITIL, ISO 27001/27002 and SANS. Scoped, planned and executed a program of 7 compliance initiatives targeting: IT governance; management of vendor, application, network and capacity, CRM, data governance and architecture, BCP/DRP, cyber and information security.
  + Directed a team of 3 BCP/DRP specialists to complete CBOC’s Business Impact Analysis (BIA) and Threat & Risk Analysis (TRA) to identify risk-exposed critical processes and evaluate related emergency preparedness and crisis communications; then documented the business continuity plan (BCP) in ISO 22301:2012-compliant Recovery Planner’s RPX; ensured DRP completion with tests against vendors SLA/OLA over a MPLS-network for 20 branches using CITRIX XEN, LAMP and Microsoft
  + Obtained CBOC’s banking license after a 3-month OSFI certification process and the submission of a comprehensive report on IT self-assurance that includes IT policies, workflows, test plans, test results and improvement plans

**LEAD IT PROJECT ENGAGEMENT | EVOQ** Toronto Canada **Apr 2014 – Jun 2014**

* + Designed then trained 10 project managers/business analysts to use a proprietary project methodology with 9 core competencies (system integration, scope, time, cost, quality, staffing, communication, risk and acquisition) to be deployed across North America
  + Led a team of 2 EVOQ analysts to conduct a feasibility study for integrating a client’s platform in specialty credit and payment with ALGORITHMICS capability in financial risk and enterprise risk. Built a Proof-of-Concept with 5 real-time capabilities for incorporation of operational risk exposures into risk calculations, heat maps with instant visibility into risks, capture of Key Risk Indicators (KRIs) and identification/ alert on unauthorized product trading

**DELIVERY MANAGER | SCOTIA BANK PMO** Toronto Canada **Oct 2013 – Apr 2014**

## Enterprise Program

* + **Core Deposits & Payments Non-face-to-Face (NFF)**: Led a team of 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). Applied SCOTIA PMLC and SDLC to manage and deliver on-time and on-budget the scope, deliverables and timelines for the bank’s high-profile online deposit initiative to improve the customer Non face to Face (NFF) and call center processes

## Projects Rescue Missions

* + **Collection System Replacement (CSR)**: Managed the transition to the new credit risk/debt management requirements from 2 business lines (Credit and Collections), using MS Project and MS Excel to develop new project/budget baseline for vendor and 16 IT development teams (Visa/SCOTIALINE, Scotia Plan Loan, Mortgage, ACH, etc.)
  + **Family of Cards (FOC)**: Led the intensive reformulation from project into program to create SCOTIA generic platform for branded cards; revamped the initialization phase by establishing a Program Charter, Road map and RACI comprising 4 lines of business (card, self-service, marketing and operations), 4 vendors, 17 IT team leads (Card, AS400, Call Center, host, etc.)
  + **Retail Loan Platform (RLP)**: Managed the capture of 12 change notices (PCN) for direct variable term loans from branches, including changes in credit origination and shared Insurance 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.)
  + Developed and executed rigorous project risk and infrastructure management – including project controls standards and guidelines plus rigorous cost control and management in conjunction with financial system SMARTSTREAM HR; supplied high- quality business requirements, system design, quality assurance & testing QA&T plan and other MS Office artifacts

## IT MANAGER | CONTROL SOLUTIONS Governance and Compliance Toronto Canada May 2013 – Oct 2013

* + Analyzed AGNICO-EAGLES’ IT and Finance processes through interviews and observations then documented, tested and evaluated 80-plus SOX controls for IT Governance, network (WAN/LAN, virtualization, firewall, Active Directory, database), middleware, security monitoring, application, help desk, change management as well as financial reporting processes on the company’s JD Edwards G/L, A/P and A/R, fixed assets, procurement, HR payroll. Supported internal audit by providing Ernst & Young with comprehensive report of IT control and security – including process description, flowchart, test plan and results.
  + Advised on future remediation plans for deficiencies, including 150 improvements on service delivery and support process. Provided guidance on IT Cyber security, Cloud (Oracle, VMWare), IT project intake, IT governance, QA/Testing and the management of 50 key vendors – in preparation for the consolidating of 20 IT data centers into vendor-based Q9 datacenter

## MANAGER / BUSINESS ANALYST | HOOPP Treasury and Securities Accounting Toronto Canada Nov 2010 – Jan 2013

* + Conducted on behalf of 3 business units (accounting, collateral & treasury management, security operations) a 2 month-review of Scope, SLA, and UAT results to evaluate the operational fit of a 3-month old SIMCORP back-office technology. Subsequently led 5 project managers and 10 developers to use AGILE to document the user stories for 300-plus 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 new technology with portfolio management, securities trading and risk management
  + Managed $15M program with 7 concurrent project streams in accounting, equity, private equity and credit products - in parallel with the corporate’s Lean/Six Sigma initiatives: 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; accounting analytics to reconcile trading G/L; automation of securities lending in short sales-trading. Coordinated a 6-month upgrade of SIMCORP 4.8, Oracle 11g and Windows 7 to 150 members of staff, complete with end-to-end UAT and review of SLA/OLA

## SENIOR CONSULTANT / CONTROLLER | CIBC Financial Risk PMO Toronto Canada Jun 2009 – Oct 2010

* + Led 6 project managers from 6 work streams (market risk, trading credit risk, operational risk, analytics, data and technology) through 3 phases of the Risk Strategic Initiatives at CIBC Risk: POC evaluation, selection and negotiation of ALGORITHMICS and SUNGARD. Documented business use cases for over 50 groups of workflow complete with calculation models, data dictionary and business rules catalog in the discovery then consolidation of 500 high-level groups of requirements for 6 work streams
  + Confirmed the requirements with 6 sets of high-level user acceptance test cases and draft SLA/OLA. Developed the work packages, schedules and resource costs for 6 streams. Led vendors and IT through the “order-of-magnitude” exercise to analyze the benefits/cost of customization & operation. Negotiated vendors and technology on capital and non-capital spending to develop the project’s $80M budget. Coordinated 3 rounds of review with Management before securing Board’s approval for the funding
  + Formalized the PMO policies and structures to prepare for Gate 4 (Implementation phase). Developed PMO cost management system, customized CIBC PMLC Enterprise Delivery Framework (EDF) and institutionalized 50 templates for change management, governance & risk management, quality assurance, resource and infrastructure planning. Developed 3 tactical solutions to satisfy OSFI mandated revisions to the Basel II VAR methodologies for Incremental Risk Charge, Stressed VAR and Enhanced VAR

## SENIOR MANAGEMENT CONSULTANT | SIERRA SYSTEMS Toronto Canada Jan 2007 – Jun 2009

* **CIBC Mellon Financial System Renewal Project FSRP (2007)**: Led 5 ERP/BI specialists to consolidate the requirements for an integrated financial reporting process. Reviewed business/ system documents then interviewed management and SMEs to map 5 business streams (Finance, Treasury, Operations, HR/Payroll, Management) to confirm the situation statement, future state and solution requirement. Produced comprehensive enterprise business architecture, business process flows and capability matrices – which were later used for SOX reporting and Lean/Six Sigma initiative. Drafted RFP then led business in the evaluating of proposals from 7 vendors (Oracle PEOPLESOFT, SAP, SAS) for ERP, data warehouse and BI Business Intelligence solutions
* **CIBC SOX Secure End User Computing SEUC (2008)**: Planned then successfully led through 3 gates (feasibility to closing) a solution search to secure high-risk financial processes (loss > $5B). Project included RFP, POC and vendors evaluation to involve 5 vendors and 3 lines of business: Risk Management (model vetting); Middle Office (calculation of OTC derivatives); Retail Brokerage and Wealth Management (pricing/cash flow calculation)
* **MANULIFE Derivatives Accounting (2009)**: 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
* **Project rescue engagements**: Russell-Mellon Enterprise Investment Platform (Wealth and Brokerage), Balanced Scorecard/BI British Columbia Corporate Accounting Services (public sector), migration of MTO Road User Safety online channels for Revenue Management (public sector), system integration of Travel Insurance Coordinators TIC with Trent Health (P&C industry)
* Consolidated Sierra’s PMLC and SDLC methodology on CA CLARITY into an integrated and gated project management and project risk management including cost, schedule and resource planning; developed client’s evaluation guidelines for PPM tools including PRIMAVERA and PLANVIEW

## SENIOR CONSULTANT | CIBC Control Division Toronto Canada Jan 2005 – Dec 2006

* Spearheaded a team of 5 analysts/developers in the design and implementation of Microsoft Access automated reporting system on controls for financial reporting, operation control and legislative and general entity compliance.
* Led the design and development of the “Internal Control Repository Tactical Solution” – a SQL Server-based application to store the SOX controls from 200-plus lines of business then automate the assessment (control test, deficiencies tracking and remediation planning) and assertion (exceptions/ significant changes and sign-off) processes
* Conducted the “Train the Trainer” and UAT for 4 control streams: financial reporting, operation control, legislative and general entity compliance. Managed the cleansing then conversion of 4,000 SOX controls from significant accounts and SOX sensitive IT applications into OpenText Internal Control Repository (ICR)

## GLOBAL EXPERIENCE

**SENIOR CONSULTANT / MANAGER | XEG LIMITED** Sydney Australia **Oct 2000 – Dec 2004**

* Developed a gated PMLC and SDLC Methodology for XEG outsourcing strategy, encompassing project and risk management,. Applied the PMLC methodology to successfully lead a team of 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 | AMERICAN INTERNATIONAL ASSURANCE (AIG) Hong Kong Sep 1996 – Apr 2000

* **Business Transformation Harvester Initiative (1996-99)**: Led 5 regional IT teams with 120 IT resources and 20 vendors to realize Accenture proposed 4 strategic objectives by establishing 9 regional initiatives (6 business plus 3 IT), including: Launch of AIG SUNAMERICA Asia Pacific online wealth and brokerage, PHILAMLIFE credit card platform; Asia Pacific Customer Care (Call center, Customer Relationship Management CRM, client/product business intelligence BI); Regional back-office re-engineering (lean Six Sigma) and Rejuvenation of mainframe-based insurance price engine through migration (architecture, data and UI)
* **Regional PMO (1996-97):** Set up the regional IT Program Management Office PMO and directed 15 managers to analyze, select, supervise and report a portfolio of $100M of 100 initiatives in 15 countries. Institutionalized gated PMLC and SDLC, project intake, governance, risk and infrastructure management. Published policies, procedures, processes, tools and templates. Standardized project cost control, budgeting and accounting with *Critical Path Method (CPM)* and *Earned Value Management* to manage 20 system and outsourcing vendors; developed and get approved a 5-year capital budget for IT
* **Market Entry India, Vietnam (1999-2000):** Led 20 IT managers to set up the launching platform for endowment, group pension, property and casualty in 40 cities in India and Vietnam; recruited and trained local MIS staff, set up AS400 data centers in Chennai and Hanoi, and directed TCS (Chennai) and AIDC Guangzhou to customize the mainframe-Life applications for India and Vietnam

**IT MANAGER | AIDC TREASURY AND FINANCE** Sydney Australia **Oct 1993 – Aug 1996**

* **Financial risk and Treasury (1994-96)**: Spearheaded a team of 4 analysts/DBA to implement a multi-dimensional analytics system financial risk for debt & equity with capability to analyze syndication strategy and credit origination and to expand customer service capability by 20% especially in private equity evaluation
* **Financial Systems Decommissioning (1993-95)**: Led a team of 3 developers to participate in the decommissioning of the legacy financial (mainframe) systems. Then implemented a vendor-package solution for treasury and corporate lending in 2 years to support Cash Management, Bank Reconciliation, Banking Relationship, ACH, daily bank Transmissions, Debt and Investments Management and Financial Risk Management

## MANAGER / MANAGEMENT CONSULTANT | PWC-PRICE WATERHOUSE Sydney Australia Oct 1990 – Sep 1993

* **Home Care Services (1992-93)**: Led PWC business process reengineering team of 5 consultants to design then implement a comprehensive budgeting and roster application for 5,000 unionized staff at 56 branches and 84 service outlets; Managed the configuration of PEOPLESOFT financial for HR/Payroll/AR/AP and GL of 15,000 individual accounts of a statewide chart of account
* **WESTPAC DCPK (1990-92)**: Reviewed the technology strategy at Australia’s largest bank then designed, delivered a client-server based deal capture and position keeping for money market, currencies and derivatives. Subsequently led a team of 5 traders, 20 testers and 7 vendors to complete the UAT of key processes of pricing, trading, settlement and GL posting

## EDUCATION AND CERTIFICATION

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| Data Science Graduate Certification | 2018-Ongoing |
| PMI-PBA PMI Professional in Business Analysis, Project Management Institute | 2015 |
| CPA, CMA Chartered Professional Accountant. The Institute of Chartered Accountants of Ontario  C | 2014 |
| PMI-ACP PMI Agile Certified Practitioner, Project Management Institute | 2013 |
| CTP Certified Treasury Professional, AFP USA | 2012 |
| PRM Risk Management Certification, RiskLab, University of Toronto | 2011 |
| CRISC Certified in Risk and Information Systems Control, ISACA USA | 2011 |
| PMP Project Management Professional, Project Management Institute | 2010 |
| CMA Certified Management Accountant, The Society of Management Accountants of Ontario | 2007 |
| CISA Certified Information Systems Auditor, ISACA USA | 2007 |
| ITIL Foundation in IT Services Management, EXIN | 2007 |
| CSC Canadian Securities Course, Canadian Securities Institute | 2004 |
| MRes Master of Social Research, Macquarie Graduate School of Management Australia | 2005 |
| Executive MBA Master of Management, Kellogg - HKUST USA | 2000 |
| Master of Science Applied Physics Robotics, Norwegian Institute of Technology NTH Norway | 1985 |

## RECENT SELECTED PROFESSIONAL ACTIVITIES/INTERESTS

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| --- | --- |
| Cloud Security Alliance Working Groups: Security Guidance for Critical Areas, Big Data | 2016-2017 |
| ISACA IT Auditor Instructor | 2017 |
| R Documentation Task Force | 2017 |