

Serge Asonganyi Atem

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SUMMARY

- Comprehensive knowledge in performing a risk based Audit, Information Security risk analysis, identifying and assessing risk, designing Audit/Compliance Test Script, evaluating business processes using Visio software and performing substantial and attributes testing to ensure regulatory business requirements are met.
- Skills in performing risk based audit testing and risk based compliance testing according to the Wells Fargo Auditing System (WFAS) procedures, RECOR-Servicing procedures and the Wells Fargo Core CCS testing methodology/procedures to determine controls design effectiveness and if business requirements are met.
- Excellent knowledge of issue management, issue validation testing and targeting testing to determine if corrective action has been completed successfully.
- Skills in Investigating/Auditing of fraud and suspicious activities in accordance with USA Bank Secretary Act (BSA) and filing of Suspicious Activity Report (SAR) and Currency Transaction Report (CTR) according to the US government treasury requirements.
- Skills in performing retail banking and credit card risk based processes analysis and controls effectiveness testing in accordance with Corporate policies and banking regulatory requirements. Knowledgeable in applying risk based process and gap review on consumer financial services, servicing collections-cards/retail bankruptcy and pre/post judgment compliance testing. Skills in performing overdraft collection/educational financial services processes review for compliance.
- Knowledgeable in using SQL/SAS base programming in managing DBMS, performing data analysis and reporting. Knowledgeable working with virtualization interface such as Oracle Virtual box and VMware.

EDUCATION

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| • Maharishi University of Management, Fairfield, Iowa 52556
MBA Accounting | 2008- 2011
Completed December 2011 |
| • University of Buea, South West Cameroon
B.Sc. (Hons) Accountancy | Graduated 2002 |
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Certifications & Memberships

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| • Certified Anti Money Laundering Specialist(CAMS) Obtained | October, 2015 |
| • Certified Information System Auditor(CISA) - Obtained | September 2017 |

Skills

- **WF Systems:** SHRP-Issue Management, CRES+, MSP, ECA , ICMP, AMP, ECAR, IRRIS, CAC, NASA, America Info Source, MS Excel, Microsoft Lync, Microsoft Outlook, Microsoft Words and Visio.
- **Investigative Software:** Hello, Actimize, Mantra , Portfolio Analyzer, Sonar, fortent, Customer Manager, Customer assist, D&B and Passport
- **Database software Language:** SQL
- **Risk & Audit Knowledge:** KYC, CDD, EDD, C.I.P, GAAP, GAAS, IFRS, SOX , OFAC laws, Bank Secrecy Act(BSA), anti-money laundering(AML) Investigation, AML reporting(SAR) risk management, RECOR-Servicing compliance testing, Institutional Risk Auditing, Home Lending Risk Review/Testing and Auditing and BPRM process mapping
- **Language:** Fluent in English, French, Creole and can understand little bit of Spanish, Latin

WELLS FARGO'S WORK EXPERIENCE

Wells Fargo Bank S.A West Des Moines, Iowa Corporate Compliance and Risk Associate

June 2016 to Present

- Select member of the Consumer Lending Compliance and Operational Risk Associate Program, a competitive talent risk development program that trains a pipeline of future risk leaders through four six-month work rotations and professional development training
- **Business Processing Risk Management**
 - Identify high risk processes relating to change control and take a risk based mitigating action to mitigate the risk.
 - Part of a team involve in stratifying and compiling Judgement team BPRM walkthrough for high risk analysis and controls evaluation for design effectiveness
 - Perform credit card, retail banking, educational financial services and overdraft collection processes risk based testing for compliance with Corporate policies and Fed/State regulatory requirements.
- **Real Estate Compliance and Operational Risk (RECOR)-Servicing**
 - Gained knowledge of CPSA risk analysis, Internal Risk Assessment (IRA) Affiants/Notary testing, RCSA processes analysis, BPRM Stop and Flag testing to ensure compliance with regulatory requirements.
 - Validated HL Stops and Flags issues with the Government Oversight team and performing Affiant/Notary testing to ensure notary block requirements are met.

- **Consumer Lending Group(CLG) Audit**
 - Assisted in Audit field work for MSP data integrity attribute testing and anomalies testing.
 - Part of the Audit team that completed the walk through meeting of the Institutional Risk Auditing
 - Performed administrative task related to gathering information for SHARP Corrective actions and updated management on issues remediation status
- **CCS COR Testing**
 - Performed attribute testing for compliance with the following regulatory requirements: Bankruptcy, Affiant/Notary Review, CC & Financial Contact Methods Review, Call Recording and Consumer Credit (CC) Specialty risk based/control compliance testing.
 - Conducted walkthrough process observation interviews to complete attribute testing for Affiant/Notary Review
 - Perform credit card, retail banking, educational financial services and overdraft collection processes risk based testing for compliance with corporate policies and Fed/State regulatory requirements.

ADDITIONAL WORK EXPERIENCE

JP Morgan Chase Bank, Huntington National Bank and Citi Bank, Columbus, Ohio 2011 to 2016

Sr. Contract Consultant (Compliance and Risk)

- I engaged into several short-term contracts (1 year) with JP Morgan Chase, Huntington Bank and Citi Bank while pursuing my MBA degree in Accounting and to qualify to take the Certified Anti Money Laundering Specialist Certification and the Certified Information System Auditing. Some of my responsibilities were but not limited to :
 - Researched and resolved root cause problems related to Bank Secrecy Act and anti-money laundering, by researched and investigated financial crime activity, performed compliance testing to mitigate the risk and filed Currency Transaction Report (CTR) and Suspicious Activity Report (SAR) with FinCEN.
 - Provided subject matter expertise and consultation to AML investigation in Retail Banking Accounts, Consumer Banking Accounts, Home Lending Accounts and Credit Cards Accounts for regulatory compliance.
 - Designed Test Script and tested several regulatory compliance policies for compliance. Researched to identify the root cause of the problems, investigate client's account or escalate the problems to Senior Managers or line of ethics
 - Reviewed MSP data for interest rate accuracy, SCRA compliance, foreclosure compliance and mortgage terms modification for accuracy and completeness.
 - Reviewed securities for accuracy and integrity and gained working knowledge of stocks, Shares, bonds, options, dividend, right issues, P-control system, Bloomberg Terminal, Multifond Accounting System for mutual fund and hedge fund.
 - Perform credit card, retail banking, educational financial services and overdraft collection risk based testing to ensure compliance with Corporate policies and Fed/State regulatory requirements.

Ohio Department of Administrative Service/Attorney General Office, OH Summer 2010, summer 2011

Sr. Auditor-Contract Consultant

- Reviewed FUTA tax collection system and reconciled old versus new cash. Reviewed Medicare payroll data system and data from IRS system of record, and reconciled the two system using skills in MS Excel. Reviewed State's tax Masterfile data and those of 25 state's agencies and reconciled the accounts discrepancy for accuracy, integrity and report to the Project Manager.

Nkong-Hill-Top Micro Finance, Cameroon

2005 to 2008

Sr. Audit manger

- Coordinated the audit activity and audited the system of data for integrity, compliance, completeness and accuracy.
- Mitigated the risk associated with each process to ensure controls are working as designed and minimize risks associated with each controls.
- Designed Test Scripts and Test data for compliance with regulatory and corporate requirements as required.

Cameroon Opportunity Industrialization Center (COIC)-NGO, Cameroon

2004 to 2008

Controller

- Coordinated all the Accounting and Finance Staffs including preparation of financial statement using GAAP and IFRS, Reviewed and Approved Transactions, prepared Budgeted, Actual and variance report for Board Steering Committees' quarterly Meetings.
 - Performed control risk assessment and evaluate the design of control and control performance to determine the effectiveness of the Economic Venture Activities (EVU) which includes: the Information System Department, Auto Mechanic repairs and maintenance department, Operation of Motor Vehicle Driving and Testing Department and the Hotel/Catering Management Department.
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