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**SUMMARY**

* Financial Services Professional with excellent skills that include risk, audit, legal & compliance, SOX, setting up templates to calculate fund performance, reconcile reconciliations and data governance.

**AREAS OF EXPERTISE**

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| SOX | COSO |
| Operational Audit | Business Analysis |
| Risk Management | SQL |
| SCRUM Master, Product Owner | Software, System and Stakeholder requirement documentation |

**PROFESSIONAL EXPERIENCE**

**Freddie Mac, McLean, VA Jul 2017 – Jan 2018**

**Senior Business Analyst**

Perform risk and control and compliance related activities, including enhancing Risk and Control Assessments, Issue Management, and Management and Ad Hoc Reporting.

* Performed Operational Risk Control Self-Assessments (RCSA) on Investment & Capital Markets (I&CM) operational and model processes to evaluate process risk and control versus established standards
* Analyzed upstream and downstream model relationships in Model Risk Tool (MRT) for Consequential SOX models, to suggest controls to mitigate Use Risk for the model user, and mitigate Performance Risk for the model owner
* Created Business Process Maps (BPM) in MS Visio in discussion with key stakeholders to visually depict the entire Derivative Operations trade lifecycle including counterparty setup, trade execution, security master setup, manual pre-confirmation (for both acquisition & extinguishment), MarkitSERV confirmation, legal documentation, settlements and clearing, trade modifications, swap fees and interest processing to highlight EUCs and controls for FHFA walkthroughs and to document COSO compliance.
* Utilized MS Visio to create detailed business process maps, and to visually depict one-to-many relationships between models and uses for operational risk upstream and downstream impact analysis and root cause analysis
* Created trend graphs and Standard Operating Procedures for a new process to track Internal Audit, Management Identified and FHFA identified issues in the Investments & Capital Markets division.
* As part of Issue Management for the Investments and Capital Markets Division (I&CM), investigated Internal Audit significant issues and findings, met with Agreed Upon Action (AUA) Owners, documented Action plans and Closure Package responses to the 2nd Line of Defense (LOD) evidencing corrective steps taken.
* Applied Risk and Control methodology (per governance documentation, risk standards and corporate policy) to quarterly Risk Assessments.
* Maintained and updated process documentation including applicable SOX application memos, SOX testing artifacts
* Updated NASDAQ BWise Governance Risk & Control (GRC) repository for I&CM Process Risks, Controls and Open Issues
* Discussed key operational risk drivers impacting the Inherent impact and likelihood ratings, risk response based on recent Internal Audit and FHFA findings, and Residual ratings considering controls in place.
* Led the project to kick-off I&CM self-testing, including Test control design (TOD) and effectiveness (TOE) based on segment and division compliance standards. Create test plan & test scripts per guidelines.
* Worked directly with senior management as a 1st Line of Defense (LOD) representative, to design new controls that would satisfy Internal Audit compliance requirements, including testing BQL (Blackrock Query Language) triggers on the Aladdin OLTP interface, which is the primary trade input for the Investments and Capital Markets trade desk.

**Deloitte & Touché LLP, Chicago, IL Jul 2015 – Jun 2017**

**Senior Business Analyst, Risk Advisory & Security Compliance-(Contractor)**

As a member of the enterprise risk consulting practice, provided professional services to the clients to adopt security best practices and controls into their overall IT operations. Reviewed overall IT environment and developed an incremental roadmap for addressing critical gaps and charting a progressive course to more effective enterprise security posture.

* Tested SOX (Sarbanes Oxley) and COSO framework compliance on client portfolios followed for valuation of the securities held including tax lot accounting, pricing of trades, booking of trading and non-trading P&L, verification of pricing to independent pricing sources.
* Created software requirements and system requirement documents including functional, non-functional, technology, user interface requirements, data flow diagrams to capture detailed requirements.
* Created entity relationship models as part of product features, to explain the data flow, validation and dependent relationships that feed the front-end user interfaces.
* Utilized IBM Rational DOORS v9.3 to maintain requirement documents, perform gap analysis, and highlight scope creep where system requirements do not cover stakeholder requirements.
* Assisted SOX testing team in creating user acceptance test (UAT) scripts, scenarios, led stakeholders through UAT.
* Assisted with UAT testing of Controls and EUCs in MS Excel and MS Access environments as part of quarterly SOX and Operational self-testing efforts.
* For UAT related to application migration, assisted in documenting user guides and functional training materials based on vendor documentation to tailor per client need, including step-by-step user guides for routine transactions
* Assisted client’s management and IT professionals to identify and prioritize critical gaps related to information security in their IT domain covering the IT processes such as change management, vendor management, securities valuation and asset management.
* Created user stories, user acceptance criteria, epics, process maps, data mapping and formal requirements documentation.
* Utilized MS Visio to visualize the trade lifecycle, technology impacts, user access controls, and compliance checks
* Coordinated and reported progress on testing performed on SOX controls and EUCs as part of Investments and Capital Markets SOX compliance efforts
* Provided security consultation and assurance to client’s management on protection of business information by integrating industry accepted IT controls, policies, processes, and procedures
* Clearly identified current data security shortfalls, weak internal controls and provided recommendations based on the industry accepted security frameworks to help the client in improving the information security controls
* Validated data process flows to ensure that only essential information was being transmitted to the relevant parties, and controls were effective in protecting data security breach

**Citigroup Securities Fund Servicing, Columbus, OH July 2013 – May 2015**

**Business Analyst / Operations Team Lead, Securities Fund Services**

**Project:** Creating efficiency in the securities fund services department, by implementing GAV pack automation, and Frontier integration for cash and securities reconciliation. Gross Asset Value (GAV) pack is a complete report of the client hedge fund performance, fees and financial reports. Senior management envisioned streamlining the GAV pack generation process – (1) by creating a tool to pull in all reports for the accountant in one place, hence limiting sourcing of support documents from various systems, (2) issue system reports with customized add-ons to allow for uniform report delivery to the client, (3) reduce resource outlay by 7 FTE.

* Consolidated business needs from 100+ hedge fund derivatives funds accounting portfolios prepared by the Fund Servicing teams, created BRD and FRD with functional specifications to create one integrated solution
* Involved in securities processing daily and month-end processing of equities, fixed income and derivative holdings including mortgage backed securities (MBS), credit default swaps (CDS), interest rate swaps (IRS) and futures
* Identified system changes that would impact regulatory and compliance reporting for OCC (Office of the Comptroller of the Currency) audits focused on mark-to-market (MTM) valuation of derivatives.
* For the trade operations, counterparty setup and pricing teams, provided access controls and system enhancements to make the trading platform more intuitive, efficient, and added data quality checks
* Performed Identity Access & Management (IAM) reviews to test Segregation of Duty (SOD) compliance
* For the Advent Geneva 8.0 upgrade, created detailed software requirements including functional, technical, and compliance related requirements, user interface functionality
* Created portfolio performance reports and trend analyses by extracting data from large repositories using SQL queries, Vlookups and harnessing data relationships
* Performed data acquisition from SQL Server and Excel sources, data scrubbing validation and analysis, to create report prototypes per stakeholder requirements.
* Automated reconciliation of securities holdings, P&L and market value for derivative investments including Futures, Options, Swaps and Mortgage Backed Securities (MBS).
* Conducted UAT sessions with the accounting back-office users to explain enhanced functionality, discontinued reporting, and work-arounds in the upgraded software.
* Created detailed Business Process Maps (BPM) using ProVision and Visio mapping tools for process audits
* Utilized Jira for maintaining requirements within the product backlog by mapping stakeholder, system requirements and architectural requirements, and highlighting gaps and scope creep
* Utilized SQL queries, advanced Excel (including macros, pivots, vlookup, index-match functions) to perform impact and P&L analysis on the holdings based on projected price and attribution changes.
* Facilitated UAT on the Advent Geneva accounting software, to troubleshoot for issues during trade booking, pricing of various securities, and adding new functionality per new business requirements
* Utilized requirement management tools like Rational Requisite Pro to control the requirement gathering process.
* Participated in stakeholder meetings to understand and document business requirements, create use cases and class diagrams in Visio to clearly depict the information flow and team responsibility
* Created the FRD with the help of SMEs and developers to detail the various reports in the GAV pack and their generation in Geneva, Bloomberg, MS Excel and from static data sources
* Worked closely with the developers in BASG (Business Automation Support Group) to create prototypes to share with the business using Visio, Draw.io and Balsamiq
* In Frontier integration, tracked the progress of clients on-boarding to Frontier for cash and positions reconciliation.
* Utilize Jira to manage requirements: product backlog, sprint backlog, sprint meetings and conduct gap analysis
* Led the offshore TCS team to convert manual reconciliations to Frontier
* Gathered Business Requirements, analyze data/workflows. Defined the scope, financial projections and Cost/benefit analysis. Progressed from Problem Statement to well-documented Designs.
* Utilized Rational Requisite Pro as a user to analyze the business requirements and created test plans, test cases and test strategy using Rational Test Manager
* Collaborated in the creation and updated the Requirements Traceability Matrix (RTM) using HP Quality Center
* Developed prototype of new information processing application. Facilitated collection of functional requirements from system users and preparation of business requirement documents using Rational Requisite Pro.
* Performed and co-coordinated the System testing, regression testing of various builds during integration, performance and User acceptance testing using Rational Test Suite
* Prepared documents such as Project Scope, Project Vision, Project Success, Business Requirements, Functional Specification, Data Warehouse Process Flow (SQL queries) using MS Office (Word, Excel, Visio) and dashboards
* Worked with Release management for Implementation Plans (Pre and Post) to define roles and responsibilities

**Awards & Recognition:**

* Certified on-site Trainer on Capital Market Fixed Income investment setup and processing on Advent Geneva 6.2, 8.0 for derivative products including Swaps, Bonds & Equity, Mortgage Backed Securities
* Trainer of the Quarter Award for 3Q 2014, for stakeholder training on processing derivative transactions
* Certificate of recognition for efficiencies created in the fund accounting and securities processing teams
* Recognition for applying Pareto analysis in Lean Six Sigma to highlight the high impact issues to apply controls

**J.P Morgan Private Bank, Mumbai, India (Offshore)**  **Nov 2011 – Jul 2013**

**Team Leader / Business Analyst – Business Analytics team, Asset Management**

**Project:** Elicitation of requirements, and implementation for investor teams in Geneva, creating mock-ups based on their requirements, maintaining scheduled report delivery and new deliverable creation and scheduling. Reports included strategic and tactical performance view, account holdings, and various other asset management reports

* Performed Extract Transform Load (ETL) activities on regional account data to meaningfully visualize account holdings, Discretionary versus Managed accounts, holdings by strategy, and trends
* Developed User stories and Use Cases, constructed UML diagrams and Data flow charts using MS Visio.
* Clarified QA team issues and reviewed test plans, test scenarios, test cases, test data and test scripts developed by QA team to make sure that all requirements are addressed in the Requirements Traceability Matrix (RTM)
* Performed data analysis including root cause analysis, data deficiency, exception reporting, failed trade capture
* Successfully managed and implemented multiple Data Warehouse releases relating to improve data quality,
* Actively participated in tracking, maintaining and closing the defects using HP Quality Center. Involved in testing of the functionality of the software requirements gathered by participating in User Acceptance Testing (UAT).
* Knowledge and understanding of Waterfall methodology, with ability to manage and complete requirements timely
* Assisted product owner in developing content and training materials; recommended enhancements and identified new business requirements to avoid scope creep.

**J.P Morgan, New York, NY March 2008 – July 2011**

**Analyst, Private Bank**

**Projects:**

(1) Total expense view – Assisted in creating a platform wide snapshot of fees charged at the investor and fund level, while also providing in-depth analysis of expense ratios to compare portfolios to investment offerings across the bank.

(2) Structured product pricing – Streamlined structured product pricing process for both Onshore and Offshore portfolios by implementing an audit file to track the entire pricing process. Transitioned process to administrators.

* Utilize Jira in Agile Scrum to maintain stakeholder requirements, software requirements and architecture requirements, address scope creep and conduct frequent gap analysis to track progress: product backlog, sprint backlog, sprint meetings as part of scrum
* Understanding of financial terminologies - FIN46, FAS157, K-1, SAS 70, Dodd-Frank.
* Utilize Visio to create wireframes, UML activity diagrams, use cases, sequence diagrams, class diagrams
* Conducted elicitation, gap analysis, data mapping, process mapping, requirements management
* Conducted quality testing, regression testing, UAT testing to ensure zero defects before implementation
* Implemented advanced MS Excel macros and pivot tables to automate investor performance and K-1 reporting
* Automated data pull from Bloomberg to accurately price marketable securities and accrued interest
* Investigate position/cash breaks and pricing issues by leveraging trade capture unit

**BNY Mellon, Somerset, NJ March 2006 – March 2008**

**Accounting Analyst, Alternative Services**

**Project:** Advent Geneva Implementation for Alternative Investments accounting and Net Asset Value (NAV) generation Streamlining NAV generation. Assisted with phased data migration from IAS to Advent Geneva for fund accounting clients. Assist accountants in trouble-shooting data transfer issues

**Project:** FRX reporting engine implementation to run investor statements by extracting data from accounting platforms

* Created Business Requirement document (BRD) and Functional Requirement document (FRD) for securities trading
* Utilize Jira in Agile Scrum to track progress: product backlog, sprint backlog, sprint meetings
* Utilize Visio to create wireframes, UML activity diagrams, use cases, sequence diagrams, class diagrams
* Liaised with the design team to build prototypes of the financial reports per fund accounting back-office requirements
* Automating the trade capture process from client source files into Advent Geneva trading platform
* Reconcile daily Net Asset Value calculated by the NAV team with month-end reconciliation by the accounting team
* Assist the stakeholders in UAT, and in live environment testing post implementation
* Troubleshoot issues relating to security valuation, P&L, fee booking, investor statements, and show stoppers.
* Worked with SMEs to identify high-level requirements related to Asset Management and Wealth Management

**Awards & Recognition:** Performance Excellence Award received in December 2008

**CERTIFICATIONS**

* [Scrum Master Accredited Certification, International Scrum Institute, License 14755456630140](http://www.scrum-institute.org/certifications/Scrum-Institute.org-SMAC421cfb676f-14755456630140.pdf)
* [Scrum Product Owner Accredited Certification, International Scrum Institute, License 05538402368314](http://www.scrum-institute.org/International_Scrum_Institute_Certificate_Validation_Tool.php?AUTHORIZED_CERTIFICATE_ID=05538402368314)
* [Business Metrics for Data Driven Companies by Duke University, Coursera.com](https://www.coursera.org/account/accomplishments/certificate/6AKRABCX9UC7)

**EDUCATION**

MBA, Risk Management & Insurance, Temple University, Philadelphia, PA (2004)

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| **Business tools** | SQL, Visio, SharePoint, IBM Rational DOORS v9.3, HP Quality Center/ ALM, MS Office (Advanced Excel, Access), Jira, Rally, Rational Requisite Pro, Requirements traceability matrix (RTM), Clear Quest |
| **Financial tools** | NASDAQ BWise GRC tool, Thomson Reuters GRC, Blackrock Aladdin (OLTP), Blackrock ATLAS (OLAP), Advent Geneva (v6.2 and 8.0), Frontier, FRX Report Engine, Bloomberg, Institutional Accounting Systems (IAS), Workstation trade analytics |
| **Financial knowledge** | Financial Reporting: US GAAP regulations per SEC: FIN48, FAS157, SAS 70, Basel III, Dodd-Frank, Volcker, ERISA, Internal Controls testing (SOX, COSO); Equities, Fixed Income Derivatives including (Swaps, Forwards, Futures, Mortgage Backed Securities, Private Equity) Securities Processing, P&L reconciliation, GAV and NAV calculations, Management and Incentive calculations on Alternative portfolios |