**PRERNA SAREEN**

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**Certified Business Analyst – Strategic planning - UI Design Management**

Project Management - Product Management - Enterprise Analysis - Data Analyst- Derivatives and Stocks

**PROFILE SUMMARY**

* Over all **8years** Experience in **Finance (Asset management, investment banking, and wealth management), Capital Markets and Banking (retail banking, credit cards, loan accounting, account management, clearance and settlement), Cash Processing System,** **Bankruptcy and Foreclosure, MSP.**
* **Well versed with Dodd Franck.**
* Highly motivated and result driven certified business analyst with 8+ years of professional experience in executing wide varieties of IT projects in finance domain. Strong in communication skills, leadership skills and problem solving skills, and have good Business knowledge and IT knowledge**.**
* Have hands-on experience in various Software Development life Cycle (**SDLC), RUP and worked in Agile-Scrum** methodologies**.**
* Highly experienced in all financial instruments within Fixed Income Group, Equity Group, Investment banking, **brokerage** and Trading.
* Expert knowledge of **Trade Life cycle** of **stock** **brokerage** firm. The interaction between Front office, Middle office, Back office and Corporate Actions.
* Have extensive experience in conducting **Feasibility Studies, UI Design/capture, Data Analysis, System Analysis, Gap Analysis, Risks Analysis** and **Root Cause Analysis.** Strong Knowledge of and experience in **UML based methodologies** and applications, including **RUP, Rational Suite including Rational Rose, and Requisite Pro** etc.
* Very strong experience in **Collection, analysis, and documentation of User Requirements, as well as** Organizing **interviews, User meetings, workshops, JAD sessions and requirement elicitation sessions**. Converted collected business requirements in to functional requirements.
* **Works well, with both business users and developers, in order to ensure the smooth follow through, of the development of software.**
* Extensive experience in conducting Market research, Feasibility studies, **Data Analysis**, **Data mapping, Data warehouse, Business Intelligence, Data Warehousing and Business Architecture, Master Data Management, Reference Data Analysis**, System Analysis, Gap Analysis, and Risks Analysis, Supply Chain Management.
* Have demonstrated experience in working in **multiple assignments and in multicultural groups**. Facilitated project meetings and conducted training sessions.
* Assisted in **User Acceptance Testing (UAT)** of software both before and after completion and documented the result. Have experience in writing **SQL** scripts for Data analysis and reported the result to the business team. Have strong knowledge in Business intelligence and Data Warehousing.
* Very strong understanding of data migration from **MS Access to MS SQL server**. Expertise in developing **QA Test Plan**, **Test Conditions**, and **Test Cases**; ensuring adequate testing of software both before and after completion; **conducting and documenting UAT.** Have experience in writing queries/scripts in **S-SQL Server** for **Data analysis and QA report testing.**

**Strengths**

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| --- | --- |
| * Requirements document (BRD, FRD, NFRD) * Unified Modeling Language (UML) * UAT, JAD * Test Cases * SDLC Methodologies, Agile-Scrum * Structured Query Language (SQL) * SOX Compliance Process * Business Intelligence | * Traceability matrix * Use Cases * User Stories and Wire frames * Business Architecture * UI Design & Capture * Rational Unified Process (RUP) * Process Modeling |

**Technical Skills Sets**

* **Methodologies :** Waterfall, RUP, Agile-Scrum
* **Project Management :** Microsoft Project 2003, 2007 , Microsoft Office , MS Access
* **Business Modeling Tools :** Microsoft Visio 2003, 2007, MS Word, MS Excel, MS Power Point, Rational tools, iRise (requirement Modeling)
* **Platform :** Microsoft Windows( 95, 98, 2000, 2007, XP & Vista)
* **Programming Languages :.NET, Java, Web technologies**
* **Databases :**Microsoft SQL Server 2000

**CERTIFICATIONS**

**Certification in Mastering Business Analysis May – July 2010**

Villanova University, Florida USA,

**Certification in Finance Jan 2013 -Pursuing**

Harvard Business School

## Certification in Market Risk April – June 2013

New York Institute of Finance, New York, USA

**Certification in SQL Sep 2012 – Jan 2013**

University Of Houston

**Certification in Portfolio Management I (CPE CREDITS 07) Oct- Dec 2010**

New York Institute of Finance, New York, USA

**Certification in Portfolio Management II (CPE CREDITS 08) Jan – April 2011**

New York Institute of Finance, New York, USA

**Certification in Credit Derivatives Sep – Dec 2011**

New York Institute of Finance, New York, USA

**Certification in “Analysis & Valuation of Stocks” Aug – Nov 2011**

Community College, Chicago IL USA

# Professional Experience

**Alliance Bernstein, Dallas, TX**

***Role:Business Analyst November 2011 –till date***

Alliance Bernstein is a leading global investment management firm that offers high-quality research and diversified investment services to institutional clients, individuals and private clients in major markets around the world.

Alliance Bernstein employs more than 500 investment professionals with expertise in growth equities, value equities, fixed income securities, blend strategies and alternative investments and, through its subsidiaries and joint ventures, operates in more than 20 countries.

Alliance Bernstein’s research disciplines include fundamental research, quantitative research, economic research and currency forecasting capabilities. Through its integrated global platform, Alliance Bernstein is well-positioned to tailor investment solutions for its clients. Alliance Bernstein also offers independent research, portfolio strategy and brokerage-related services to institutional investors.

**Responsibilities:**

* Gathered business requirements through interviews, surveys, and observing from account managers and **UI (User Interface) of the existing Broker Portal system.**
* Understand and articulate business requirements from user interviews and then translate requirements into functional and technical specifications.
* Interacted with fixed income business heads to finalize the Business Requirements for the Risk Management process.
* Worked on Cash Flow System in regards to transaction .
* Interacted with **SME’s of different divisions (Information Technology, Risk and Operations**) and established a business analysis and design methodology around the RUP (Rational Unified Process).
* Implemented Straight through processing functionality for new OTC/Equity Derivatives - **Prime Brokerage** business unit.
* Prepared High Level Logical Data Models and BRD using Requisite Pro supporting documents containing the essential business elements, detailed definitions, and descriptions of the relationships between the actors to analyze and document business data requirements.
* Analyzed the existing system and process gaps in context of new business changes (**Gap Analysis**).
* Conducted Market Research, **Data Analysis**, **Data mapping, Business Intelligence, Data Warehousing and Business Architecture, Master Data Management, Reference Data Analysis**, System Analysis, Gap Analysis, and Risks Analysis.
* Conducted JRP sessions with management, SME’s (Subject Matter Expertise), vendors, users and other stakeholders for open and pending issues to develop specifications.
* Designed Use Cases, Use Case diagrams, Class diagrams, Activity diagrams, Sequence diagrams in UML methodology using Rational Rose.
* Involved in **Joint Application Development (JAD) sessions with the IT Group**.
* Worked closely with the UI team to model the screens, which met user defined requirements, organizational and regulatory standards.
* Assisted in **User Acceptance Testing (UAT)** of software both before and after completion and documented the result.
* Wrote **SQL scripts for Data analysis** and reported the result to the business team. Have strong experience in **Knowledge Management** and its tools Business intelligence and Data Warehousing, Data mining & Decision Support System.
* Used Data **Capture**, P**rocess Documentation and automation.**
* Worked on data migration from **MS Access to MS SQL server**.
* Helped in developing **QA Test Plan**, **Test Conditions**, and **Test Cases**; ensuring adequate testing of software both before and after completion; **conducted and documented UAT.**
* Experience with requirements management, test management and defect management tools **like Rally, Quality Center**
* Wrote queries/scripts in **Oracle** and **MS-SQL Server** for **Data analysis and QA report testing.**
* Held group meetings, walkthroughs and supervised/trained other analysts.
* Developed and maintained relationships with clients on all on-going projects.
* Established a corporate finance data repository assisting in **credit score carding**.
* Responsible for the completion of projects within specified time and budget dealing with financials, project work flow, change management and dealing with vendor relationships.
* **Integrated an external credit score carding system** into internal risk management system by identifying management requirements and implementing automatic information upload.
* **Performed System and Integration Testing** along with testers**.** Conducted **UAT with the business**
* **Assisted with Test Cases and developed strategies with Quality Assurance** group to implement them. Efficiently responded to client inquiries and resolved discrepancies. Identified, prioritized, tested and proved essential business functions to assure compliance with vendor and internal auditing.
* Collaborated with **Quality Assurance Analyst in Rational Clear Quest** to track defects and used **Rational Clear Case** to maintain consistency in the builds

**Environment:** UAT, TestCases, Rational Clear Case, Quality Assurance, Sql, Oracle, Agile,

**Frost Bank, Austin, TX**

***Role: Business Analyst Nov 2010 – October 2011***

Frost Bank is a regional bank that provides financial services ranging from checking, saving and loans to credit cards, investment banking and wealth management. The capital asset management department manages a range of stock, bond, and money market mutual funds; and other investment portfolios. It provides an array of mutual funds, sub-advisory services, and separate account management for individual and institutional investors, retirement plans, and financial intermediaries. **Performance Attribution System** (PAS) was developed specifically to provide most valuable advisory services to clients on Asset Projections, Portfolio Rebalancing, Executive Stock Option Models (ESOM), Investment Holdings, Liquidity Needs and future goals. Created a real time stock record system to be used by the operations group in a bank / **brokerage** house. **The systems solutions advise the clients on Wealth Management Strategies (WMS), provide clear and complete picture of the clients assets in position and those that are held by other providers, full brokerage capabilities, access to IPO’s and other 3rd party products, research data and tax and insurance information.**

**Responsibilities:**

* Worked with the business users to identify business requirements and analyze the possible technical solutions
* Was responsible for creating and reviewing **business requirements, functional specifications, project schedules, documentation and test plans.**
* Designed the business requirement collection approach based on the **project scope and SDLC Methodology**
* Conducted interviews with key business users to collect requirement and business process information
* Understood Fixed Income Modeling, Bonds and Bond Trading Cycle, Equities and Equity Trade Cycle, Derivatives (Options and Futures), Portfolio Management, Wealth Management, and Sales and Marketing
* Worked with SMEs, such as Information Security Officer, Legal/Regulatory Advisors, and Disaster Recovery Team to ensure appropriate technology provision to comply with standards and requirements
* Conducted SMEs meetings, one on one interviews at both in-house and client locations, gathering requirements, providing analysis/functional specifications as well as Liaising closely both Front / Middle Office, and analyzing requirements using **Requisite Pro – RUP**
* Assisted project managers with the development of Project schedules, development of requirements, and preliminary design for client applications
* Performed analysis and design projects using a systems development methodology. Worked with all levels of client staff in solution definition
* Designed and developed **Use Cases Diagrams, Activity Diagrams, Sequence Diagrams, and Collaboration Diagram**
* Identified, investigated, analyzed, defined and documented business processes and Use Case Scenarios
* Involved in **Business Process Flow development, Business Process Modeling, and Analysis.**
* Conducted workflow, process diagram and GAP analysis by identifying existing technologies, documenting the enhancements to meet the end state requirements
* **Assisted with user testing of systems User Acceptance Testing (UAT),** developing and maintaining quality procedures, and ensuring that appropriate documentation is in place
* Worked with development and QA teams to accomplish timely release objectives
* Involved in Data Modeling design, ODS generation and Data Warehouse maintenance
* Assisted in development of Training Plan for new technology and process improvements

**Environment**: UAT, Agile, Datawarehouse, Use Cases, QA, Derivatives, Sales,

**Standard Chartered, India**

***Role: Business Analyst May 2005 – January 2009***

The project involved designing and developing a system which allows the user to get a view of the **Comprehensive account summary** that shows the portfolio value, cash balance, and securities held in all of the Standard Chartered accounts. Furthermore, it gives detailed information for a particular account, such as portfolio holdings, realized gains and losses.

**Responsibilities:**

* Writing functional specifications.
* Preparing test plans and cases.
* Collaborated with the Project Manager to organize training material and write user manuals
* Analyze business needs to drive the delivery of solutions tailored to the business requirements.
* Gathered user/business requirements by interviewing the various business units involved.
* Clearly document all requirements to define scope of delivery, and translate the Requirements to Functional specifications and prepare comprehensive test conditions/cases.
* Coordinate training with business operations and support activities with other disciplines to include training layout and plans.
* Designed and developed use cases, activity diagrams, and sequence diagrams using UML.
* Analyzed existing systems logic difficulties and revised them as needed.

**ACADEMIC BACKGROUND**

**MBA (Major in Finance & Minor in HR) Sep 1996 – June 1998**

Meerut University, Meerut, India

**MA Economics Sep 2005 – June 2007**

BSM College, Roorkee, (Garhwal University), India

**BA in Economics Sep 1993- June 1996**

Delhi University, New Delhi, India