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2014 Employee Performance Appraisal Form

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| **Name** | Suganya Anbumani |  | **Date** | 12/26/2014 | | | | |
| **Position** | Senior Application Developer |  | **Department** | | Information Technology | | | |
| **Manager** | Thomas Huddleston |  | **Period Covered** | | | Jan 2014 | **to** | Dec 2014 |

**Ratings and Definitions:**

* **Distinguished Performance (DP):** Displays the highest standard of performance in the job. The quality and quantity of work produced compares with the best in the company. Builds and maintains successful working relationships with others and is viewed as a leader throughout the company. Is a model of excellence for others.
* **Commendable Performance (CP):** Consistently exceeds, and at times far exceeds, all expectations of the job. Maintains an above average standard of performance in the quality and quantity of work produced. Builds strong working relationships throughout the company.
* **Fully Successful Performance (FSP):** Successfully meets, and at times exceeds, expectations of the job. Demonstrates the ability to execute major functions with limited guidance. The quality and quantity of work produced meets expectations. Maintains effective working relationships throughout the company
* **Partially Meets Performance Expectations (PMPE):** Demonstrates adequate performance in most areas of job responsibilities but needs improvement in some. May require above average supervision in one or more major functions of the job. Individual has the capacity to improve overall performance.
* **Does Not Meet Performance Expectations (DNME):** Results fail to meet expectations. Performance has declined significantly, or has not sustained adequate improvement since last performance discussion. May require above average guidance in one or more major functions of the job. This individual has the capacity to be fully successful. Has received a performance plan or a plan is forthcoming.
* **Developing Performance (DVP):** Employee is new to the position and is satisfying the standards and expectations of a person learning or becoming oriented to a new position.
* **Not rated (NR):** Review postponed until \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

1. **Major Responsibilities:**

***Description:***

*Describe the major responsibilities of the employee’s position.*

*Building on last year’s successful deployment of DataCentral, develop reporting and other data service needs using the DataCentral databases. Also, incorporate any new business opportunities within the database.*

***Evaluation****:*

*Evaluate the employee’s performance including the way in which the employee carried out this responsibility (behavior/results).*

*In 2014, Suganya was able to successfully incorporate many of MPA’s data requirements using the DataCentral data. This effort included:*

1. *The refactoring of the standard manager reports for the Natixis, Edward Jones, and Fortigent instances thus solidifying the standard reporting for manager clients on one platform*
2. *The refactoring of AAMS optimizer and the Custlink processes to use DataCentral to allow for better process controls and uniformity of data*
3. *The development of the Vestmark Best Execution extract to allow more detailed analysis of trade execution performance through Elkins McSherry*
4. *Assisted in the development of the historical data feeds required by the Revport separate account billing process*

*In addition, Suganya was able to add the Fortigent data to DataCentral as this new business opportunity was launched by MPA.*

*Lastly, Suganya was able to build out all of the query logic required for the operational exception reporting as specified by MPA. This required collaboration with MPA personnel to work through the data logic and she was able to craft SQL views using DataCentral to satisfy each of the reports specified. As part of this process, Suganya was able to learn Tableau and develop ideas for the BI reporting.*

**Rating Commendable Performance \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Impact: \_High\_\_\_\_\_\_\_**

**(High/Medium/Low)**

**Responsibility:**

***Description:***

*Provide support for Active Investment Advisors, including development and enhancement of the AAMS optimizer. Provide mentoring for junior staff as they learn the AIA processes and AAMS environment.*

***Evaluation****:*

*In addition to the general support of AAMS, Suganya did an excellent job this year with AIA initiatives. She was developed many new features within AIA’s processes such as:*

1. *Developed the AIA Loomis Manager Extract and replaced the Vestmark custom reports which helped to customize the reporting and corrected issues with the original report.*
2. *Developed the code to process the intraday Tropt files helping AIA to get more timely and accurate account information from Vestmark*
3. *Managed a release schedule for AAMS each quarter to address prioritized bugs and enhancements*
4. *Developed the Factset historical report to provide better analytics for AIA*
5. *Improved the AAMS Performance by replacing some of the processes in Java by stored procedures*

*Suganya is also in the process of working with Morningstar and S&P to replace the current pricing and GICS feeds respectively. This conversion has required the development of Informatica mapping to load the Morningstar/S&P data and integrate it with AAMS to feed to the application. AAMS application changes have also been made to consume the new fundamental data and validated the application. Once the contracts have been approved in early 2015, this migration will reduce our license fees by $25,000 per year.*

*Lastly, Suganya has worked with PeiYing Lo and Lucheng Liu to acclimate them with the AIA processes and AAMS application. Through Suganya’s tutelage early in the year, PeiYing was able to successfully cover support and development issues with AAMS while Suganya was on maternity leave.*

**Rating \_ Commendable Performance \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Impact: \_\_High\_\_\_\_\_\_\_\_\_\_\_**

**(High/Medium/Low)**

**Responsibility:**

***Description:***

*Consolidate the current data load processes into SFS MARS for managed accounts to gain better management of the data feeds and to reduce maintenance costs.*

***Evaluation****:*

*As part of this effort, Suganya designed new Sales and Asset Reports for Fortigent as well as the developing the process to build out the subsequent asset reporting from DataCentral. As part of this effort, she used Vestmark’s report writer to produce validation reports for the process in consultation with Ellen Sokoll and Cindy Hilomen.*

*Building on this work, Suganya redesigned the managed account MARS extract format based on the SFS MARS standard format. This will replace the complex interface in MARS and will be flexible to do modifications in the future.*

*While this simplified process is not yet in production, it will be implemented soon after the New Year and will serve as the template for new managed accounts SFS MARS data feeds in the future.*

**Rating \_ Commendable Performance \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Impact: \_\_Medium\_\_\_\_\_\_\_**

**(High/Medium/Low)**

**Responsibility:**

***Description:***

*Support and manage the MAT development platform.*

***Evaluation****:*

*Suganya has been able to keep the MAT development platform current in 2014. She was able to upgrade Jboss, fixing the security issue for JMX console. In addition, she was able to reconfigure the JMS configuration for the new Jboss and upgrade Java for all of the applications including AAMS, ETS and Manager Portal*

**Rating \_ Fully Successful Performance \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Impact: \_\_Medium\_\_\_\_\_\_\_\_\_**

**(High/Medium/Low)**

1. **Areas of performance needing more attention or improvement.**

*Suganya should continue to develop an understanding of our MPA business and work with our business partners to develop better processes. Suganya has extensive experience in many areas of MPA and has a superior knowledge of the underlying data. She should feel confident about this knowledge and should feel more empowered to contribute her ideas to how best to improve MPA and MAT.*

1. **Areas of exceptional performance or strengths that should be highlighted. Include achievement of any goals set for 2014. Include how the employee supported the Company’s innovation initiative.**
2. *Expanded the use of DataCentral and provided a strong framework for further development using this data platform. She has gained expertise in Vestmark MPA data and is able to design various reports and help various projects utilizing the data from DataCentral.*
3. *Served as a strong senior developer; helping PeiYing with technical issues and sharing her business knowledge with the rest of the team.*
4. *Worked with AIA to better understand the business process. This allowed her to add positive redesign to the AAMS trading algorithm and to thoroughly test the pricing and GICs data changes*
5. *Developed the operational exception report views and learned Tableau in order to better design and support the reports for MPA*
6. *Developed a strong working knowledge of Vestmark report writer to help validate the extract data and various reports.*
7. *Maintained and managed the MAT development platform*
8. *Supported the various production applications and helped the team with her expertise.*
9. **Outline goals/expectations for 2015 as they relate to the employee’s position and the corporate goals of Grow Profitably, Build Efficiencies & Manage Risk, and Develop our People. Goals may also include ideas around the different types of innovation (products, services, processes, technologies, and business models) at NGAM.**

*2015 Goals are currently being developed and evaluated in conjunction with an overall IT effort. Completed and aligned goals will be updated and included in the appraisal by the end of February 2015*

1. **Highlight learning events attended by the employee and how they have utilized the knowledge gained through these events.**
2. *Advance training for Informatica tool which helped to design in more efficient way and improve the performance.*
3. *Webinar for Tableau tool to help design business intelligence reports*

# Overall Summary of Performance:

*Suganya has performed very well this year. Her contributions to the developing reporting and application integration to DataCentral have been significant and continue to grow the usefulness and importance of this data source. She has also contributed to our firm’s efficiency by improvements to the AAMS algorithm and simplification of the data feeds from Vestmark to SFS MARS. Moreover, she has added better data awareness through her strong interaction with MPA performance and operations as well as the development of the operational exception reporting views. As we move to rearchitect many of our MPA processes in 2015, Suganya should use her extensive knowledge of this area to guide this effort and help shepherd these processes through the migration.*

*In addition, Suganya has been as strong senior presence in the managed accounts technology team as she heavily contributed to PeiYing’s acclimation to MPA processes. She has also worked well with Lucheng as he came onboard this year,*

1. **Overall Rating**

**(Check one)**  **Distinguished Performance**

**Commendable Performance**

**Fully Successful Performance**

**Partially Meet Performance Expectations**

**Does Not Meet Performance**

**Developing Performer**

**Not rated; next review scheduled for \_\_\_\_\_\_\_\_.**

**Employee Comments:**

**Signatures:**

**Employee’s Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

Signature confirms receipt and review of appraisal; it does not indicate agreement or disagreement with the appraisal.

A copy of this document will be placed in your employee file.

## Manager’s Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_