WENDY AMSBURY

ARVADA, CO 80003 ● (303) 589-1936 ● WGREEN80021@YAHOO.COM

BUSINESS SYSTEMS ANALYST / BACK OFFICE DEVELOPER WITH over 20 years of experience in the brokerage industry and significant expertise in trade reporting and regulatory compliance. Adept with both federal regulatory requirements and coding to create effective, compliant programs and systems. Strong project management skills, including gathering requirements, creating functional specifications, customer communications, and completing deliverables in a timely manner. A big-picture thinker with a passion for research, automation, and problem-solving to create process efficiencies

KEY SKILLS

- Software Development
- Regulatory Compliance
- Process Improvement and Automation
- Business Analysis
- Order Management Systems

- Project Management (Agile)
- Analytical Problem Solving
- Database Management
- Ongoing and Ad Hoc Reporting
- Research and Issue Resolution

PROFESSIONAL EXPERIENCE

THOMSON REUTERS/ REFINITIV – Brookfield, WI / Arvada, CO - CONTRACT   2018—Present
Consultant - Compliance Business Analyst
- Assist in internal regulatory trade reporting audit and system analysis.
- Review regulatory updates and procedures to ensure current system compliance.
- Work as liaison between Compliance/Regulatory teams and development staff.
- Create functional specification documents supporting system enhancements and remediation projects.

SCOTTRADE, INC. – Westminster, CO   2010—2018
Senior Back Office Developer
- Lead Developer for back office processes and procedures for FINRA and SEC regulatory trade reporting.
- Partner with various business areas to understand project requirements, create technical specifications.
- Implement regular updates and initiatives to maintain regulatory compliance for Electronic Blue Sheets, TRACE, RTTM, ORF and OATS.
- Automate regression testing for multiple systems to save time and improve thoroughness of testing.
- Attend Financial Information Forum (FIF) discussions to understand current industry concerns and best practices.
  Major Projects and Initiatives:
  – **Data Conversion:** Worked on an Agile project to convert all Scottrade blue sheets and transaction history data to the TD Ameritrade platform while maintaining Scottrade's compliance system.
  – **Large Trader/KYC Mandates:** Lead five developers in a two-year project to create back office processes for regulatory reporting of Large Traders. Assisted other developers with the design, recordkeeping, and aggregation of data.

– **PROFESSIONAL EXPERIENCE CONTINUED**

– **OTC Reporting Facility (ORF) Platform:** Designed and developed an ORF reporting system utilizing an existing TRACE reporting platform to save significant costs and resources.

– **T+2 Shortened Settlement Cycle Mandate:** Created an application which processed large volumes of trade data, populated the UTC Tool mass upload template, and wrote a detailed trade recap spreadsheet. This application allowed the business to complete over 375 test cases and enter over 4,500 trades.

– **Electronic Blue Sheet (EBS) Requests:** Automated the process for logging regulatory requests for EBS to reduce the compliance department's processing time by 60% and eliminate the risk of human error.

COMPUTER RESEARCH, INC. – Westminster, CO   2006—2010
Technical Business Systems Analyst
- Resolved client problems with system issues and updates through researching and troubleshooting code defects.
- Facilitate disaster recovery testing and business continuity preparedness initiatives.
- Liaised between developers and business areas to develop technical requirements for projects.
- Researched requirements and compliance mandates in support of development planning for the Options Symbology Initiative (OSI).

FISERV SECURITIES/FISERV CORRESPONDENT SERVICES – Westminster, CO and Remote   1994—2006
Programmer Analyst
- Managed all new compliance projects, including RTTM maintenance, upgrades, and troubleshooting.
- Ran blue sheets for brokers and provided support with third-party vendor software.
- Researched and resolved compliance, P&S, and out-of-balance issues.
- Created ad hoc reports in response to regulator requests.

EDUCATION

Professional Development and College Coursework: Visual Basic, SQL, HTML, C#, Agile, Java 8 Bootcamp, Brokerage

TECHNICAL PROFILE

Programming Languages: Visual Basic, COBOL, SQL, VBA (proficient); C# (basic)

Software: Microsoft Office Suite (Access, Word, Excel, PowerPoint, Outlook, Visio), Monarch, Crystal Reports

Databases: Microsoft Access, SQL, DB2

Systems: IBM iSeries (AS/400), Tandem

Platforms: Windows OS, .NET