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SUMMARY OF QUALIFICATIONS

- **Functional Roles** - over 30 years of progressive responsibility in a diversity of lead roles in IT / Security Governance, Risk and Compliance (GRC), Data Governance / Data Quality / Master Data Management, Credit and Liquidity Risk and Stress Testing, Operational Risk Management, Internal Audit, IT Project Management, Enterprise Architecture, Out-Sourcing / Off-Shoring and as a IT Expert Witness; tenure includes a Big 4 accounting firm, a major IT services company and three global Financial Services Institutions

- **IT Governance, Risk & Compliance (GRC)** – perform GRC assessments for Fortune 500 Companies as a continuous process improvement initiative, in support of acquisition / merger / transformation activities, or for offshore & outsourcing strategy. Assist clients by defining an IT Governance framework to ensure strategic alignment between the business and technology strategies, an enforceable set of policies and standards, that governance processes are operationalized and monitoring measures are defined

- **Governance and Quality Frameworks** – high literacy in the leading frameworks; COBIT©, ITIL™, ISO 2700x and 6-Sigma (DMAIC); significant experience in evaluating business and technical risks of the development, implementation, and operational support of IT systems, with a focus on internal and management controls for regulatory compliance

- **Data Governance and Data Quality** – detailed knowledge of the implementation of Data Governance and Data Quality practices in support of regulatory mandates (FRB/OCC, OSFI, BCBS 239)

- **Regulatory Compliance** (incl. Privacy & Data Protection) - conversant with key regulatory requirements; BIS (Basel), Dodd-Frank (DFAST), LCR, CCAR, FFEIC, PCI, HIPAA, Sarbanes-Oxley and GLBA

- **Credit and Liquidity Risk** – well versed, within a technology context, in Credit Risk and LCR principles in support of regulatory (stress testing) and financial reporting (FFIEC 101, 2052a, FR Y-14A)

- **Enterprise & Operational Risk Management** - well versed in the practices of Enterprise Risk Management (COSO), Operational Risk & Technology Risk Management (ISO 31000); assess and enhance client's ERM / ORM frameworks to ensure regulatory compliance; facilitate risk and control assessments to identify level of inherent / residual risks and control effectiveness

- **Enterprise Architecture (e-Commerce & Online Banking)** - subject matter expert for IT audit and architecture & design assessment of Enterprise-wide applications including distributed, Internet-based and e-Commerce solutions

- **Project Quality Management and Project Portfolio Management (PPM)** - provides quality management oversight and guidance using industry best practices to assure the successful deployment of strategic initiatives

- **Offshore & Outsourcing** - strong expertise in performing IT and vendor risk assessments, typically during the due-diligence phase of strategic sourcing and procurement initiatives; this includes strategy development and execution

- **Thought Leadership** - broad experience authoring thought-leadership deliverables and technical white papers. Articles published in the ISACA COBIT© Newsletter, ISACA Journal, Dow Jones Governance periodical, Cutter IT Journal and for the American Bar Association (Expert Witness)

- **Academic Qualifications / Accreditations** - MS in E&EE; active member of ISACA - served on expert advisory team; elected by ISACA to serve on the CGEIT Certification Committee / TES sub-committee; approved as IT/Technology expert witness to testify during litigation cases

EMPLOYMENT HISTORY & PROFESSIONAL EXPERIENCE

TD BANK (2012 – 2014, 2015 -)   **ADVISORY CONSULTANT** (INDEPENDENT)

DATA GOVERNANCE, MASTER DATA MANAGEMENT & DATA QUALITY
- **CDE / End-to-End Lineage** – in support of Basel II & III requirements identified Critical Data Elements (CDE) for Treasury systems; developed an end-to-end lineage mapping to adhere with TD's Data Governance Framework, Data Quality standards and compliance with BCBS 239
- **Data Quality Management (DQM)** – conceived, developed and initial implementation of a DQM framework for the Treasury business segment as a part of the Bank's OCC / OSFI Basel III program
- **Data Governance - Regulatory Compliance** – **Stress Testing** – performed Data Governance assessment of Treasury systems in support of TD's DFAST / CCAR regulatory submission for Credit / Liquidity Risk

USAA (2015)   **ADVISORY CONSULTANT** (INDEPENDENT)

ENTERPRISE RISK MANAGEMENT
- **Policy Oversight and Adherence** – reviewed USAA's ERM and ORM frameworks to gain an understanding of current risk management practices. Defined a Policy Governance Framework based on Industry practices
- **Emerging Risk Framework** – Defined a new Emerging Risk Management framework. Developed a tool-kit to classify and score emerging risks based on impact, likelihood, velocity and mitigation dimensions
- **Risk Appetite / Risk Metric Refresh** – reviewed and enhanced the RCSA used for executive risk reporting (CRO, BOD, etc)

AMEX FSB (2012)   **ADVISORY CONSULTANT** (INDEPENDENT)

PMO (STRATEGIC INITIATIVES)
- **Independent Quality Review** – provided quality management oversight and guidance using industry best practices to assure the success of a major platform migration initiative. Validated project assumptions & risks and ensured the quality of phase deliverables

ALLY BANK (2011)   **ADVISORY CONSULTANT** (INDEPENDENT)

GLOBAL MARKETING & E-COMMERCE
- **IT Strategy & Planning** – assisted in the definition and socialization of a target state, technology roadmap and a delivery strategy to enable the realization of the Bank's e-Commerce business vision
- **System Development QA Program** - developed and institutionalized a quality assurance framework of development best practices to ensure effective test procedures and defect & issue management

WELLS FARGO BANK (2010 – 2011)   **TECHNICAL PROJECT MANAGER**

WHOLESALE & INTERNATIONAL INFRASTRUCTURE SERVICE DELIVERY
- **Infrastructure Risk Remediation PMO** – Technical Project Manager for a $2 million initiative; deployment of infrastructure to mitigate IT vulnerabilities across WF International footprint including off-shore BPO sites (India/SE Asia)

BANK OF AMERICA Corp. (2007 – 2009)   **SENIOR AUDIT CONSULTANT**

CORPORATE AUDIT
- **e-Commerce Integrated Audits** – led the technical planning, execution and issue remediation of two e-Commerce On-line Banking audits. Performed inherent risk assessments on key Online Banking applications to identify the test population

ERNST & YOUNG LLP (2005 – 2007)   **IT RISK & GOVERNANCE CONSULTANT** (MANAGER)

IT GOVERNANCE, RISK & COMPLIANCE (GRC)
- **IT Governance Advisory Services** – national champion for GRC-related projects. Led and executed GRC assessments for Fortune 500 companies; established a GRC advisory practice for the assessment, bench-

marking and implementation of IT GRC
- **IT Process – Continuous Improvement –** performed capability maturity and balanced score-card assessments for IT Governance, IT Security Governance and IT processes (service delivery & management) using industry leading practices and frameworks (COBIT, ITIL, and CMMI)

RISK MANAGEMENT
- **IT Risk Management Frameworks** – supported the assessment of ERM and IT Risk Management frameworks; provided guidance to improve client's IT risk management posture and alignment with ERM

IT GENERAL CONTROLS
- **Sarbanes-Oxley** – team lead on multiple client engagements in the assessment of IT General Controls (ITGC) to ensure SOX regulatory compliance
- **Process and Controls Rationalization** – client engagements performing current state assessments and rationalization of IT general controls. Established baseline controls; optimized the client's IT controls framework

WACHOVIA Corp. (2003 – 2005)   SENIOR RISK CONSULTANT

OFFSHORE RISK MANAGEMENT and GOVERNANCE
- **Off-Shore / Out-Source (O-O)** – developed a methodology to assess and measure country, vendor and portfolio risk for a corporate O-O feasibility initiative

TECHNOLOGY and OPERATIONAL RISK MANAGEMENT
- **Sarbanes-Oxley** - financial governance program to assess the effectiveness of WB technology (ITGC) controls; identified systemic issues and assisted in the remediation to ensure SOX compliance
- **Basel III (Operational Risk)** – defined technology control objectives for WB's operational risk framework; mentored LOB representatives; analyzed assessment results to identify any deficiencies and systemic issues
- **Gramm-Leach-Billy Act** – developed an oversight and governance model for GLBA compliance

FIRST UNION Corp. (1992 – 2003)   ENTERPRISE ARCHITECT

ENTERPRISE ARCHITECTURE / ADVANCED TECHNOLOGY
- **Enterprise Technical Architecture (ETA)** - founding member of the first corporate ETA team. Principal architect that conceptualized and delivered three releases of FU / Wachovia's ETA
- **R & D Methodology** – led a team to define a formal and strategic R&D process / methodology; defined a risk-based methodology for making IT life-cycle decisions based on analytical hierarchy process.
- **Architecture Governance Process** - assisted in the definition and formalization of the ETA governance and exception process to ensure architectural consistency
- **Project Architectural Design** - conceptual design of distributed and e-Commerce systems.
- **Architecture and Technical Assessments -** performed architectural assessments for large scale / enterprise wide applications, including ERP / ERM (PeopleSoft, Oracle and SAP) / 401k Contribution System
- **Procurement Process Integration –** worked with strategic sourcing to ensure consistency between the ETA and RFI / RFP processes; introduced a new procurement process that included rigorous assessment process
- **System Development Process (SDP)** – ensured alignment of LOB SDPs were consistent with ETA
- **Y2K** - representative for the Advanced Technology Group; undertook risk assessments & developed BCP plans

SYSTEMS DEVELOPMENT (1992 – 1996)   CONSULTANT DEVELOPER
- Identified issues and risks of client/server computing; authored a well-received middleware white paper; provided project management expertise for the successful implementation of a mortgage origination system

IBM (UK) LIMITED (1980 – 1992)   FINANCE INDUSTRY SPECIALIST

- Facilitated International customer briefings / technical workshops; IBM's *Plant Directors Award ;* Traveled extensively to Europe/US for technical reviews; US R&D laboratory; received Corporate Achievement Award

EDUCATIONAL BACKGROUND

- M.Sc. (with commendation) E& EE   Coventry University, UK 1974 – 1978
- High School education; 11 "O" Levels, 2 "A" Levels   Bedminster Down School, UK 1968 – 1974