

## Professional Summary

### Project/Program/Product Management, Business Analysis, and Relationship Management

- Pragmatic utilization of traditional plan oriented methodologies (PMI, SDLC/Waterfall, CMMI) and value driven agile methodologies (Agile: SCRUM, extreme programming). Certified ScrumMaster (CSM). Established multiple project and program management offices (PMOs) and instituted industry best practices, project management methodologies, and standards to ensure repeatable processes for success.
- Expertise with all phases of the software development life cycle (SDLC). Proficient creator of project plans, request for proposals (RFPs), test plans, project charters, current state analysis, service level agreements (SLAs), post implementation reviews, risk management plans, business investment approvals, training plan, deployment plan, business requirements gathering/analysis/traceability matrix, and functional specifications. Keen understanding of the project life cycle and its practical application in the initiation, analysis, design, construction, validation and deployment of high impact projects.
- Product planner, relationship manager, trainer, subject matter expert, and liaison between clients, end-users, vendors and developers.

### Risk, Compliance and Regulatory Surveillance

- Dodd-Frank Act (DFA): Volcker Rule, Intermediate Holding Company (IHC)/Enhanced Prudential Standards (EPS) for Foreign Banking Organizations (FBO), Comprehensive Capital Analysis and Review (CCAR), Resolution Plan/Living Wills, Clearing Member Risk Management, Legally Segregated Operationally Commingled (LSOC), Extraterritoriality, Swap Execution Facilities (SEFs), Designated Contract Markets (DCMs), Mortgage Reform & Anti-Predatory Lending rules.
- Anti-Money Laundering (AML), Know Your Customer (KYC), Client Onboarding, USA Patriot Act
- Trade Surveillance including Insider Trading, Error Accounts, Parking, Spoofing, UCITS3, order-handling rules, soft dollars, best execution, insider cyber threats, derivatives and issuer/security classification and exposure.
- Market, Credit, and Operational Risk data, models and systems. New business initiatives governance and controls framework.

### Trading, Portfolio Management, Finance, Risk, Compliance, and Operations Systems Expertise

- Lead, managed, and implemented a variety of vendor and proprietary trading, quantitative modeling, and portfolio management systems. Savvy integrator of global enterprise systems. Keen understanding of business backed by pragmatic application of technology and processes.
- Global implementation and support of complex systems providing comprehensive Market, Credit & Operational Risk, Portfolio, Order Management, Compliance, Finance, Reference, Pricing and Valuation services for Front, Middle, and Back Office areas.
- IT systems and operational workflows/processes – leverage common requirements on market/credit risk, liquidity, performance attribution, and categorizing/'tagging'/capturing of market participant categories, end-user, inter-affiliate, broker vs. client designations etc.
- Leveraging data warehouse and business intelligence tools to detect/monitor/predict patterns and trends. Inputs to Volcker metrics, Basel, CCAR, LST, Blue Sheets, TRACE, Large Trader, OATS, SSI/Third Party Settlements and other regulatory reporting.

### Capital Markets/Securities/Product Management/Financial Planning Knowledge

- In-depth knowledge of a full range of financial products e.g. annuities, mutual funds, stocks, bonds, options, equity and fixed income derivatives, real estate investment trusts (REITs), residential/commercial real estate, and tax-exempt instruments.
- Equities, Fixed Income and Derivatives expertise including interest rate swaps, credit default swaps (CDS), total return swaps, Euro Medium Term Notes (EMTNs), Asian treasuries and bonds, Emerging Markets debt, junk bonds, par and distressed debt, bank loans, structured notes, mortgaged backed securities, asset backed securities, collateralized debt obligations, FX, cryptocurrencies, and money market instruments.
- Investment bank, hedge fund and asset management experience.

### Communication Skills

- Excellent oral, written and presentation skills. Natural ability to network, build and maintain relationships.

### Management and Merger Experience

- Consistent track record of delivery and leading internal and external teams (e.g. vendors and outsourced resources) that deliver outstanding results.
- Direct report to SVP, MD and Chief level executives. Proven ability to partner effectively with senior management, SMEs, customers, and stakeholders, pragmatically filtering message content to audience. Lead Front Office, Compliance and Risk System teams in multiple mergers and reorganizations.

## EXPERIENCE

### GIBC Digital/FSTECHPROJ, New York

4/2015 – Present

#### Regulatory Implementations & Emerging Technologies • 2/2017 – Present

- Harnessing the power of Artificial Intelligence (AI) and Big Data to detect patterns and relationships, potential cybersecurity threats and vulnerabilities, descriptive/predictive/prescriptive analytics and leveraging insights for Business Intelligence and Automation of repeatable tasks, systems, and processes.
- Exploring opportunities for pragmatic applications to private corporate and public US government agencies contracting opportunities.
- Created an actionable/deployable roadmap in conjunction with the MIT Sloan School of Management Artificial Intelligence executive education program applying Machine Learning (ML), Natural Language Processing (NLP), Robotic Process Automation (RPA), ethics and governance for an organization embarking on a digital and AI transformation strategy. Entity was hypothetical to protect client(s) confidentiality and to allow for greater flexibility in incorporating the experience and knowledge gleaned across previous clients, vendors, and other collaborative partnerships. Concepts were applied to Cybersecurity, AML/KYC, and Trade Surveillance.

#### Union Bank of Switzerland (UBS), Senior Consultant, Group Asset Liability Management (GALM) – New Business Initiatives & Product Approvals • 4/2015 – 1/2017

- New Business Initiatives (NBI) & Change in Existing Business (CEB) Delivery Lead. Managed stakeholder engagements, relationships, budgets, prioritization and coordination of the New Business Control group's (NBC) five steps of NBI/CEB Initiation, Documentation Creation, Assessment, Approval, and Implementation.
- Partnered with New Business Control (NBC) and Control and Logistics (C&L) functions: Risk, Finance, Legal, Compliance, Operations, Tax, Treasury, Operational Risk Control, and IT to shepherd an unprecedented number of NBI/CEBs helping to ensure the July 1, 2016 compliance with the Enhanced Prudential Standards (EPS) for Foreign Banking Organizations (FBOs).
- In the course of the creation of the NBI/CEBs identified, remediated, mitigated, and resolved potential operational, financial, and/or supervisory gaps including risk identification and mitigation of possible threats and impacts on risk taxonomies, Know Your Customer (KYC), Anti-Money Laundering (AML), Volcker rule, sanctions, anti-corruption, business conduct, data governance and cross border activities.
- Collaborated with Treasury and other areas to facilitate the establishment and funding of Liquidity Buffers for the Intermediate Holding Company (IHC) and relevant subsidiaries.
- Beyond the July 1, 2016 EPS implementation date, facilitated sustainability and continuous improvements of what had been delivered and helped ensure GALM had the legal structure, operational framework and infrastructure for continued compliance with the Foreign Bank Enhanced Prudential Standards (FBEPS).

- Continued the delivery of upcoming Regulatory milestones within or beyond FBEPs such as inputs for Liquidity Stress Testing (LST), understanding the implications of rules such as Total Loss Absorbing Capacity (TLAC)/Clean Holding Company requirements, the Tax Inversion rules to the Combined US Operations (CUSO) and the IHC. Guided execution of interim tactical to strategic vision.
- Business Transformation co-PMO for the GALM IT Strategic Road Map to leverage the Investment Bank's Murex and other strategic infrastructure implementation. Participated in the global Enterprise Architecture Business Capability Model (BCapM) vision meetings.

**AERT, New York**

10/2014 – 3/2015

**Independent Consultant**

- Dodd-Frank Act (DFA) Title XIV Mortgage regulations as it relates to commercial real estate and Main Street (non-Wall Street/banking assignment).
- Strategic business advisory including business re-organization, legal entities, risk mitigation and restructuring to optimize administration and compliance.

**RBS Markets and International Banking, New York, New York**

2/2013 – 5/2014

**Consultant, Dodd-Frank Act Volcker Rule**

- Delivery Manager/Americas Finance Project Manager for DFA Volcker Rule. Implemented Finance Business Unit Control related metrics enhancements to comply with Volcker final rule, ahead of schedule.
- Contributed to the consolidation of tactical/regional Profit & Loss (P&L) Attribution into the strategic/global framework for enterprise-wide viewing, monitoring, and analysis of front office, risk and P&L attribution data. Participated in discussions and systems design for the timely and accurate tagging, categorizing, capture and storage of various metrics to ensure data sourcing consistency and minimize data discrepancies across business silos and systems.

**HSBC Securities USA, Global Banking and Markets, New York, New York**

4/2012 – 2/2013

**Consultant, Dodd-Frank Act Program Management**

- Program Manager leading the Execution and Clearing Workstreams focusing on rules such as Swap Execution Facilities (SEFs) and Designated Contract Markets (DCMs) Core Principles, Internal Business Conduct, Legally Segregated Operationally Commingled (LSOC), Customer Clearing Documentation, Timing of Acceptance for Clearing, Clearing Member Risk Management, End User Exception, Extraterritoriality, Compliance Phase-in and Clearing Determination.
- Team approach of comprehensive rule by rule analysis of each rule's applicability to HSBC's business areas and/or corporate support groups, gap identification, remediation strategy, and implementation phase-in. Interim procedures completed months ahead of schedule to meet Clearing related DFA compliance and implementation requirements for Documentation/Timing of Acceptance/Risk Management and LSOC. Collaborated with CME & ICE on LSOC and collateral rules.
- Partnered with Compliance, Legal, Risk, Client On-Boarding, Operations, IT and other global regulatory workstreams to leverage common DFA, EMIR, MiFID II, FCA etc. requirements for risk/liquidity management, business conduct, margins, and capital adequacy information including market participant/client/counterparty data captured during Client Onboarding, KYC/AML checklists, ISDA protocols/annexes/supplements documentation and reviews to existing systems and processes.
- Detailed planning, training, reporting, business analysis/requirements document and operational/system/data process workflows.
- Analyzed rules and its impact on revenue streams, potential exposure, and compliance alternatives for execution.

**MF Global, New York, New York**

3/2009 – 11/2011

**SVP, Global Head of Risk & Compliance Technology**

- Partnered with Risk (Market, Credit, & Operational Risk) and Compliance senior management in the identification and prioritization of technology initiatives and corresponding budgets for projects such as global trade surveillance using SMARTS.broker, inter-department front to back processing/workflows, limits monitoring, Anti-Money Laundering (AML), Client Onboarding and global regulatory reporting leveraging an enterprise data warehouse utilizing the Oracle Business Intelligence Suite.
- Enhancements to in-house systems such as MFG's AML monitoring process for cash movements (payments and receipts) across customer accounts, account opening process workflows, Regulatory Risk Rating (RRR) scoring parameters, improvements to algorithms to detect unusual activity, unusual cash movement patterns or deviations from historical patterns, unprofitable/uneconomic behavior, cash movements for non-trading reasons, large cash movements, movements on accounts just below regulatory monitoring limits etc. Employee Conflicts management and monitoring related to disclosures, affirmations, authorization and approvals for external trading accounts, gifts and entertainment and outside business interests
- Provided technical direction for design, development, systems implementation, production support and infrastructure improvements to handle expanded product coverage, reporting, scalability, performance and stability.
- IT co-lead for a global, cross asset OTC Derivatives platform including Dodd-Frank related requirements and Enterprise Risk Management vendor system selection effort (Murex vs. Calypso).

**Financial Services Projects, Technology & Risk LLC, New Jersey**

8/2008 – 3/2009

**Managing Member**

- Interfaced with government agencies: SEC, CFTC, FDIC, OCC, CFPB, IRS to discuss regulatory trends, agency requirements, and DFA project opportunities.
- Attended Dodd-Frank Act regulatory agency workshops and forums focused on rule determination and clarifications.
- Co-authored a White Paper submitted and reviewed by the Department of Homeland Security (DHS) -- Technology Research: Detection, Prevention, Mitigation, and Remediation In The Face Of Financial Cyber Terrorism – Leveraging Concepts from Wall Street.

**AERTH Business Technology LLC, Independent Consulting:****Soros Fund Management New York, New York**

6/2007 – 8/2008

- Lead the Murex production and project implementation teams to support and enhance the trading, portfolio management and risk platform for the Macro, Mortgages, Long/Short Equity and Convertible Arbitrage teams. Streamlined production support and workflow processes across multiple organizations, hiring and staffing for long-term support, and establishing repeatable processes for success.
- Risk, Front and Middle Office support for all asset classes: debt, equity, currency, and their corresponding derivatives such as futures, options, credit default swaps, interest rate swaps, forex swaps, swaptions, and total return swaps.
- Real-time, historical, and reference market data for security/portfolio valuation, counterparty/credit/market risk factors across issuers and asset classes, and financial modeling/analysis.

**Merrill Lynch, New York, New York**

1/2007 – 4/2007

**Consultant, Program Management Office: Global Credit Trading**

- PMO for the Mortgages, ABS CDS, Structured and Flow Credit departments. Collaborated with other PMO's to establish and enforce Project Governance, Business Continuity Planning, Budgeting, and Resource Forecasting and Hiring.
- Strategized and facilitated tracking and reporting for critical initiatives including a multi-year strategic transformation of disparate trading systems for ABS CDS products into one integrated pricing, reference data, OMS, valuation, marking, and real time risk and position tracking system.

**Soros Fund Management, New York, New York**

5/2005 – 1/2007

**Consultant, Project Management Office & Risk Team**

- Lift Out of the Soros Operations area to OpHedge, LLC to allow SFM to focus on its core competencies.
- Responsible for planning and directing internal and external resources in complex, mission critical sub-projects into a coherent initiative on time and below forecasted budget. Project required flawless execution, collaboration, and partnerships with senior management of multiple organizations, vendors, and key contributors from a variety of institutions.
- Direct report to Chief of Staff for the Operations Lift Out.
- Implementation Project Manager for Murex MxG2000 Front Office and Risk Management system for Macro accounts covering all fixed income, equities, credit derivatives, interest rate and equity swaps, FX options, swaptions, emerging market debt and other exotic instruments. Team was comprised of expert level staff. Direct report to Chief Risk Officer and Chief Technology Officer.

**JPMorgan Chase, New York, New York**

3/2004 – 5/2005

**Consultant, Global Equities Trading, Compliance and Asset Allocation Quantitative Modeling Plan Manager**

- Global Plan Manager for Equity Trading, Balanced Asset Quantitative Modeling, and FI/EQ Compliance initiatives utilizing outsourced onshore and offshore resources.
- Completed the successful infrastructure overhaul of a proprietary portfolio management and trading systems application in 6 weeks!
- Upgraded the Charles River Compliance Master application from version 3.10 to 7.2.3.1 in less than 3 months to improve performance and accommodate increased trade volumes resulting from the Bank One and JPMC merger.
- Risk and Legal Compliance systems and reporting tools enhanced to accommodate new regulations and improve internal audits/surveillance including UCITS III pre and post trade issuer/security concentration or exposure checking with drill-down functionality, capital adequacy requirements, order handling rules, and operational risk identification, monitoring, and control.
- Replaced an outdated quantitative system with a web-based, multi-tier proprietary system, allowing intraday access to market data vendors, portfolio optimizer models, and tactical asset allocation quantitative models.
- Pragmatic application of SDLC & Capability Maturity Model (CMM) methodologies to complete initiatives with aggressive timelines.

**Soros Fund Management • New York, New York**

6/2003 – 3/2004

**Consultant, Project Management Office**

- Lead the implementation of the FCS Wall Street Office system for the Distressed Debt Operations and Trading/Portfolio Management teams to support operations, risk, legal and accounting requirements. Managed the development of intraday interfaces and management reporting tools.
- Historical conversion and reconciliation of bank loans, equities, credit default swaps, forwards, asset backed securities, corporate and municipal bonds and major interfaces completed in two (2) months!

**Bank of America, Charlotte, North Carolina**

4/2003 – 6/2003

**Consultant, Fixed Income Securities Technology**

- Provide business analysis, project management, relationship management, and product expertise in the analysis, design, and implementation of a new Fixed Income Trading Portal. Application provided real time pricing, trading, position keeping, analytics, reporting and querying for mortgage backed securities, whole loans, swaps and other interest rate derivatives.
- Participated in Six Sigma Failure Mode Effects and Analysis.
- Created project documentation templates and established requirements walkthroughs, risk analysis, and issue resolution processes.

**Deutsche Bank (formerly Zurich Scudder Investments), New York, New York**

4/2001 – 10/2002

**Vice President, Investment Trading Systems – Global Head of Shared Services PMO • 4/02 – 10/02**

- Established a new team providing Business Analysis, Project Management, User Training, QA/Testing, vendor negotiations, and Metrics services for the Fixed Income, Middle Office and Equities Trading Systems groups.

**Vice President, Investment Trading Systems - Global Head of Equities Trading Systems • 4/01 - 4/02**

- Managed day to day production support operations, trading/private bank helpdesk and provide project management leadership for project teams. Successfully co-led the DB/ZSI trade order management integration merger using MacGregor/Merrin Financial Trading Platform and leveraging Charles River for Compliance.
- Projects included FIX, hedge fund trading/reporting, and currency trading to cover international equity positions, sector trading and commission reporting suites.
- Supervised the development of an internal counterparty database tracking financial statement data, ratings, and risk profile.
- Build collaborative partnerships with the business community to ensure a clear understanding of their needs and deploy technological solutions consistent with business strategies and objectives. Created an elite team of professionals knowledgeable in both business and technology backed by a keen sense of responsibility, outstanding work ethic, a passion for excellence, and a strong customer focus. Responsible for developers, business analysts, support analysts and QA professionals supporting the Global Equities Trading desk for the U.S. and Asia.

**Other Prior Experience:****AVP, Group Manager/Relationship Manager of the Fixed Income & Equities Systems Corporate Technology Group Oppenheimerfunds, New York, New York**

- Chief liaison between Portfolio Management, Development, Operations and QA/Testing departments. Responsible for providing guidance and expertise on all equities and fixed income related development initiatives including OLAP, EMU, Y2K, intranets, new fund and sub-advisory portfolio modeling support and software/hardware upgrades such as Merrin Financial Trading, Charles River, Bloomberg, Reuters etc.

**Product Plan Manager, NYSE Product Planning Securities Industry Automation Corporation (SIAC, subsidiary of NYSE & AMEX), Brooklyn, New York**

- Responsible for analyzing and defining customer requests, preparing time and cost estimates, producing functional requirements specifications and creating simulations of new features and products for the SIAC/NYSE intranet and host systems, namely Display Book, CMS, SuperDot, and PSS.

**Australasia & EMTNs Group Leader & Project Manager/Leader New Products & Project Management Office Reuters, Stamford, Connecticut**

- Managed data analysts researching fixed income terms and conditions for Japan, Australia, New Zealand, Hong Kong, Singapore, South Korea, Malaysia, Taiwan, the Philippines and Euro Medium Term Notes (EMTNs). Established new product coverage for US, Canadian, & LATAM exchange-traded warrants and convertible securities.
- Partnered in the development, design and testing of new screens for fixed income bonds, futures and options, MBSs, convertibles and warrants.
- Collaborated in the drafting, surveying and implementation of the Quality Standards for Projects (QSP) program.

#### EDUCATION

- **MASSACHUSETTS INSTITUTE OF TECHNOLOGY Sloan School of Management/ MIT Computer Science & Artificial Intelligence Laboratory • MA**  
Artificial Intelligence: Implications for Business Strategy
- **RISK MANAGEMENT INITIATIVE (RIM) & PROFESSIONAL RISK MANAGERS' INTERNATIONAL ASSOCIATION (PRMIA) • LUXEMBOURG**  
Institution Assessment Training for Independent Assessors
- **COLUMBIA UNIVERSITY Business School Executive Education • NY**  
Certificate in Risk Management focusing on Market/Credit/Operational Risk, Capital Allocation and Governance
- **AGILE UNIVERSITY, SCRUM Alliance Inc.**  
Certified ScrumMaster
- **NEW YORK UNIVERSITY • NY**  
Certificate in Information Management  
Intensive Web Design and Production  
Python  
The Future of Cybersecurity: Challenges and Opportunities
- **FORDHAM UNIVERSITY • NY**  
ABD-Economics (All requirements for Ph.D. fulfilled except dissertation) • GPA 3.8/4.0  
Majors in International, Financial, Development and Industrial Organization Economics  
Master of Arts in International Economics • GPA 3.9/4.0  
Presidential Scholarship. Phi Kappa Phi Honor Society
- **ASSUMPTION COLLEGE • Makati, Philippines**  
Bachelor of Science in Commerce  
Majors in Economics, Marketing and Management with a Minor in Accounting  
Graduated Cum Laude, Best in Thesis, and Best in Economics

#### COMPUTER SYSTEMS/SKILLS

Murex, Charles River, MacGregor/Merrin Financial Trading Platform, Liquidnet, Artificial Intelligence, Machine Learning, Python, Tableau, HTML, CSS, DHTML, Sybase SQL, Essbase Hyperion OLAP, UNIX, VB, MS Project, PowerPoint, Excel, Word, MS Access, Visio, Oracle OBIEE, FCS Wall Street Office, RiskMetrics, RIM Risk Management Graduation Model (RMGM)