

CHIEF OPERATING OFFICER | CHIEF OF STAFF | TRANSFORMATION DIRECTOR | CHIEF TECHNOLOGY OFFICER

A highly experienced thought leader with an impressive career history of performing in the capacity of global COO and Chief of Staff reporting to the CIO of multi-billion dollar corporations. A versatile organizational change agent who has held critical roles in the areas of financial services and technology with a proven track record of overseeing extensive operating budgets. **Demonstrated leadership successes....**led a massive rightshoring program resulting in an expansion of 1,500 new hires in India as well as sponsored and drove the firm-wide BYOD program which rapidly acquired 50K satisfied users and sustainable savings. Steered internal IT infrastructure projects and chosen as a member of several technology executive committees.

Leadership Competencies that Drive Strong Business Outcomes

- Global Business Management, Transformation, Infrastructure & Governance
- Systems Development Life Cycle (SDLC)
- Financial & Risk, Cost Control
- Organizational Change & Program Management
- Key Internal & External Stakeholder Relations
- Operating Budgets & Operational Planning
- Regulatory & Compliance
- Human Capital, Staff Retention & Resource
- Wealth & Investment, Capital Markets
- Rightshoring, Outsourcing
- Policy & Procedure Development
- Quality Assurance & Controls
- Application and Software Development

A Career of Delivering Increased Profits and Stakeholder Value

XXXXXXXXXX & XXXXXXXXXXXXX Management, New York

XXXXXX Program Director, XXXXX XXXXXXXXXXXXX Office

2015 - Present

Leads multiple project teams to assess with the utmost sensitivity and integrity, the regulatory requirements related to the XXXXXXXX Americas Business. Meets formally with regulators (Sales Practice Exam and Enforcement teams) to respond to crucial assessment inquiries that result in multi-million dollar settlements. Provides leadership and a 'hands on' program delivery approach utilizing keen problem - solving skills and overall program governance.

- **Assessment Management**—Utilizes data analytics and software tools to assess, define, and coordinate appropriate action and/or responses to meet the wealth and investment management operational protocols.
- **Standards & Policy**—Ensures where breaches are identified, disclosures are made to the appropriate regulators, client harm is calculated, and remediation payments are made.
- **Stakeholder Management**—Mediates between stakeholder teams to ensure a fair assessment of harm is calculated.
- **Governance & Reporting**—Directs decision-making protocols in accordance with set policies and procedures; reports progress to senior business/regional executives.
- **Support Team Partnerships**—Develops and maintains (payments, regulatory, QA, data extract, tech analytics).

XXXXXXXXXX Group, New York

Global Head of Strategy, Technology Transformation

2013 – 2015

Responsible for the delivery of group-wide transformational projects on behalf of the Group Technology Executive Committee comprising of the CIOs of the constituent divisions (including XXXXXXXX, Personal & Corporate Banking, Investment Banking etc.); each with 5-10K staff.

- **Rightshoring**—Developed and led the execution of broad strategies resulting in \$50M of cost savings and expansion.
- **Technology Standards and Controls**—Implemented widespread changes including testing, centers of excellence, and improved identified efficiency challenges.
- **New Talent & Performance Operating Model**—Empowered local talent at the India Offshore Development Center with the front/back delivery of projects and responsible for applications, creating common services and shared resources.
- **Group Technology Transformation**—Designed the framework to operate a new center of excellence including financial business cases, charge-back processes etc. to provide consistent processes and tools across multiple business units.
- **Drafted the Group Technology Standard for Technical Access Controls**—Addressed efficiency challenges, production systems and oversaw the implementation across multiple business units.
- **Lean Methodologies**—Simplified the end to end sourcing and invoicing process for 6,500 vendor staff; established 'draw-down' contracts resulting in reducing the need for thousands of smaller contracts & invoices.

**XXXXXXXXX Corporate and Investment Bank, and Wealth & Investment Management, New York  
Global Technology Chief Operating Officer**

**2011 - 2013**

**Direct report and Trusted Advisor to the CIO for XXXXXXXXX Corporate and Investment Bank, and Wealth and Investment Management.** Charged with the day-to-day responsibility to steer business management functions for this 10K+ organization. As chair of the Technology and COO leadership meetings - prepared the CIO for upcoming meetings with Executive Committee members, regulators, and clients.

- **Financial Management**—Managed the annual budget cycle, worked with department heads to ensure effective controls, set and managed internal policies and oversaw the procurement process.
- **Program Management** —**Introduced a program/project framework** including financial reporting and software capitalization.
- **Human Resources & Change Management**—Recruitment, compensation, training and development, and retention programs. Rebalanced staffing levels across multiple locations (1,500 new India hires).
- **Risk and Control**—Established risk management environment; worked with internal audit, compliance, and technology risk teams; met with regulators to represent the technology change and financial controls.
- **Bring Your Own Device Program**—Sponsored and drove the firm-wide BYOD program; acquired 50K users.

**XXXXXXXXX Capital, New York**

**Director, Global Equities IT Chief Operating Officer & Head of Run the Bank Services**

**2008 - 2011**

**Accountable for leading the global operations of a 1,200 person, \$200M+ front office technology group** during and after the integration of XXXXXXXXX and Lehman teams and systems.

- **Project Governance**—Spearheaded the logistics during the growth of the equity business; research and identification of source selection including vendor management, human capital management, operational metrics and performance measurement, and business continuity.
- **Division Finances**—Oversaw critical financial aspects including audit and regulatory control, regulators on-site visits and operational risks.
- **Oversaw Equities Run the Bank (RTB) Services**—Infrastructure estate management, production engineering, service management, and business continuity testing.

**Lehman Brothers, New York**

**Senior Vice President, Deputy Technology Chief Operating Officer and Chief of Staff to the CIO**

**2006 - 2008**

**As Chief of Staff to the CIO of Lehman Brothers - had a direct impact during the two years prior to the firm's phenomenally challenging times.** Provided steadfast flexibility and integrity while working alongside the CIO to advise, deliver technology briefings, and drive transformational change. CIO was charged with oversight of a staff of 6K within a \$1.6B global IT division.

- **Global Business Team Lead**—Financial planning and management (project and service-driven recharges), human capital, organizational change initiatives, sourcing, enterprise metrics and communications.
- **Directed the global technology leadership team** during meetings and off-sites.
- **Program Management of Global Strategic Transformational Change**—Implemented a Run the Bank organization, strategic investment prioritization processes, crisis management, and a strategic sourcing function.

**Xxxxxx xxxxxxxx, New York**

**Vice President, Finance Technology**

**2004 - 2006**

**Led two of Finance's largest technology change programs including the management of large global development teams in the US, UK, India, and Tokyo.**

- **Substantial Decreased Costs**—Delivered \$15M of savings over 2 years; created and implemented a system to calculate variable trading expenses; managed the platform and met dramatic trade volume increases.
- **Financial Platform Design**—A \$5M reconciliations platform for Finance and Operations including vendor selection and implementation; established new business and technology teams resulting in a central reconciliations function.
- **Reporting & Budgeting**—Managed finance technology services; reporting and budgeting (Cognos Software).

**XXXXXXXXX xxxxxxxxxxxxxx, London**

**Vice President, Investment Banking & Investment Management Technology**

**2002 - 2004**

**Trusted to perform multiple roles with varying key responsibilities**—European Investment Banking Technology Lead (oversaw the global deal management platform, trading desk, new office branches in Stockholm and Munich); Head of European Investment Management Technology (project management and service delivery, expansion of European branch

network); Chief Administrative Officer for Global Investment Banking Technology (opened new branches, banking productivity analysis, annual budgets).

xxxxxxxxxxxxxxxxxxxx, London

**Team Leader, Equity Derivatives Front Office Technology**

**1998 - 2002**

**In charge of the tactical development and trader support teams**—delivered systems including a warrants market-making platform, equity swaps processing system, and interactive Reuter’s contribution engine.

---

**Educational Background**

**Project Management APMP (IPMA Level D), Association of Project Management, London, 2005 - 2008**

**MSc Computing Science, Imperial College, London, 1997 – 2000**

**MA (Honours) (First Class), English & Scottish Literature, University of Edinburgh, Scotland, 1998 – 2001**