

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

XXXXXXX 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.

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**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**