

SUMMARY OF QUALIFICATIONS

Senior IT Professional with over twenty years experience in brokerage and banking applications. Adept in compiling business requirements and translating them into integrated systems architectural solutions with an eye toward an end-to-end vision. Strong management background with strong interpersonal skills. Excellent presentation and communications. Proven capabilities include:

- ◆ “Hands-on” project management. Effective at arranging resources and managing multiple small to large scale projects in cross-functional environments.
- ◆ Business analysis. Requirements gathering, business requirements, functional requirements, data definitions, process flows, gap analysis, QA test plans
- ◆ Effective written and verbal communications. Documentation, project plans, budgets, ROI analyses, etc. Can interface with multiple internal and/or external organizations.
- ◆ Technical leadership - Broad technical expertise spanning all current programming languages, databases, operating systems and networks.
- ◆ Subject matter expertise in financial markets products and processes
- ◆ Full System Development Life Cycle (SDLC), CMM, and Six Sigma methodologies.
- ◆ Tactical problem solving and long term strategic planning.
- ◆ Straight Through Processing (STP).

SPECIALIZED APPLICATIONS KNOWLEDGE

Securities Lending, Equity Trading and Settlement, Fixed Income Trading and Settlement, FX Trading and Settlement, Credit Analysis, Risk Management, Banking, Accounting, Operations, Compliance

EXPERIENCE

TOPPIN DAVIS, INC.
Senior Consultant

7/95-PRESENT

Key Projects:

Stock Loan Support Analyst – Provided 1st and 2nd level support for Stock Loan group operating inside a prime broker. Created support database to integrate Loanet and DTCC realtime and batch feeds. Reengineered manual processes (balancing, rate changes, etc) using VBA interfaces in Excel and terminal software. Single point of contact for external service providers including Sungard (Loanet, ALDOP), Anetics (Slate), DTC, etc.

Bloomberg TOMS Administrator – Supported 100+ person Fixed Income brokering room. Product groups include Gov’t, MBS & Corporate securities. Responsibilities included acting as primary TOMS administrator and liaising between business and all related external vendors. Vendors include Bloomberg/TOMS, Brokertec, eSpeed, TradeWeb, etc

Project Manager – Led the conversion team for Nomura’s XENOS project. Responsible for coordinating the activities of 8 developers creating conversion programs to extract all static data, position and trade information from the NTAPS system and feed the XENOS system. Created and maintained detailed project plans; coordinated all parallel tests; reported and tracked test results; maintained problem tracking database (ClearQuest); provided weekly status updates to senior management in written and verbal presentations.

Business Analyst/Technical Writer – Worked with multiple development teams on the creation and/or enhancement of several products offered by EBS Dealing Resources. The specific products include the automated trade interface (EBS Spot/Ai), realtime market data (EBS Live) and several internal projects. Responsibilities included compiling or reconciling business requirements, creating functional specifications, authoring end-user documents and providing subject matter expertise to the developers and QA teams.

Project Manager – Led team for consolidation study of multiple clearing systems for JPM Chase in London. Team reviewed custody and clearing systems and produced implementation plan for reducing annual budget by \$10MM.

Project Manager – Managed “Day 3” PMO for JPM Chase GLAMR decommissioning project. Heritage JPMorgan G/L system was converted/migrated to Heritage Chase GLAS system. Responsibilities included coordinating multiple project teams organized by lines of business. Each team was responsible for chart of account activities, conversion planning, interface migrations, testing, training and final implementation. Project activities were tracked using MS Project for each team and consolidated into a master plan by the PMO for management reporting.

Project Manager – Oversee royalblue financial's FidessaNet service bureau operations and support. Communicate with customers to gather requirements and coordinate with first line support personnel. Face off to operations manager to implement new customers and resolve problems. Oversee QA testing and “go-live” activities. Participate in pre-sales activities as required.

Business Analyst - Developed function specifications and test plans for new product development on the JPMorganChase SINAPS system. The system automates the new account process for all products and is distributed across all of the bank's branch offices.

Project Manager – Led team for several projects for Merrill Lynch's Firm Trading (FTS) and Trade & Investment (T&I) systems. Wrote functional specifications, maintained project plans, and developed QA test plans for all projects. Projects were for 1) developing cost-center based accounting for the T&I system; 2) coordinating the loading of several thousand FTS modules into the ENDEVOR change manager and ushering those modules into production; 3) redesigning the processing of corporate actions and implementing the changes to the legacy system; 4) converting programs from IDMS to the DB2 environment; 5) selected documentation of existing processes and programs.

Business Analyst – Developed functional specifications and data standards for Merrill Lynch Electronic Data Standards Initiative (EDSI) project. Developed conversion and migration strategies to assign universal identifiers to customers globally. “Mined” data in existing Sybase and Oracle Databases on multiple platforms.

Project Manager – Coordinated QA and UAT testing and user training for an FX sales deal entry system at Deutsche Bank. Performed data extractions used to load initial database and reconcile conversions. Developed management presentations and training plans. Maintained project plan and deliverables (MS Project). Created SQL queries and DCL scripts to review database during parallel testing.

Project Manager - Euro/Y2K certification at ING Barings. Responsible for all project phases including impact analysis, remediation coordination, unit and integration testing and final implementation. Maintained project plan and budget (MS Project) for reporting to upper management and the Y2K project office.

Business Analyst - Performed current state assessment on the Morgan Stanley TAPS settlement system. Deliverables included system process and trade settlement flow diagrams along with the determination of all internal and external data dependencies. Information was extracted from their IBM mainframes and refined using MS Access and Sybase.

Project Manager/Business Analyst/DBA – Design and develop sales commission tracking and analysis system for Merrill Lynch. The system provides current and historical sales and commission performance information for management. Developed business requirements, processing specifications, database design, and overall project plan. Responsible for client contact, status reporting, and oversight of the development team in general.

Project Manager - Reengineered bond interest collection for Prudential Insurance's Private Asset Management Group. Scope of project included billing, collection and distribution processing involved with their investments in privately placed securities and loans. Also responsible for developing data requirements, QA test plans, conversion plans and database mapping.

Business Analyst - Developed user requirements and evaluated potential solutions for Chase Manhattan's Global Customer Service group. Analysis involved interviewing several user groups as well as developing an understanding of existing and proposed systems.

Business Analyst - Developed functional design for the J.P. Morgan Global Securities Processing system. Responsible for developing business requirements and system flows for automated workflow and exception processing.

CANTOR FITZGERALD

4/92 - 6/95

Director of Data Processing, Institutional Trading Division

Oversaw all data processing functions for the institutional equity sales and trading division. Reporting directly to the division president and responsible for all aspects of daily processing including trading and back-office systems, market data, computer operations, programming and technical support for :

- OTC Equity Trading
- Program Trading
- Disaster Recovery

Director of Settlement Systems

Reporting directly to the CIO, responsible for all aspects of software development related to back office processing as well as total responsibility for::

- Equity Trading, Settlement and Clearance
- Fixed Income Settlement and Clearance
- Accounting
- Compliance
- Disaster Recovery

PRUDENTIAL SECURITIES INC.

9/87 - 4/92

First Vice President

Managed several project groups as part of the Capital Markets Trading Systems group:

- Derivatives
- Equity Research
- Investment Banking
- Legal/Compliance
- Government Bond Trading

EDUCATION: St. Peter's College
BS, Mathematics

LICENSES: NASD Series 7 and 63

SOFTWARE: Visual Basic (VBA), 'C', C++, JAVA, PERL, AWK, SQL, XML, UML Shell Scripts, Websphere MQ, COBOL, FORTRAN, SQL Server, ORACLE, DB2, SYBASE, MS Office, Visio

HARDWARE: Windows XP/7/10, Windows Server
UNIX - SunOS, Solaris, BSD, FreeBSD, Linux
DEC 4000, 6000, 8000 - VAX/VMS
IBM - 43XX, 308X, 3090 series CPUs - MVS & VM/CMS