
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, 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

Equity Trading and Settlement, Fixed Income Trading and Settlement, Derivatives Trading and Settlement, FX Trading and Settlement, Credit Analysis, Risk Management, Banking, Market Data Distribution, Accounting, Operations, Compliance

EXPERIENCE

TOPPIN DAVIS, INC.
Senior Consultant

7/95-PRESENT

Key Projects:

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. Systems assessed were proprietary software running on AS/400's and ES/9000's.

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. Coded Cobol II programs and DB2 queries. Created dataset and copy member cross-reference databases in MS Access using CSH and AWK scripts to parse JCL and Cobol programs on a Sun workstation.

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. Coded SQL queries, CSH, AWK and PERL scripts to analyze existing data and identify commonalities.

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. Personally wrote mainframe data

conversion routines in C on Solaris platform used to overcome incompatibilities between S/390 and Sun data formats. Coded SQL and PERL scripts to produce overnight reports. Trade information is received directly from the back office mainframe systems and stored in the database.

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.

OTC Equity Trading – Responsible for daily production support of all OTC trading support systems. Migrated from in-house system to Sungard's BRASS trading system. Performed gap analysis and negotiated contract details. Designed and led development for integration with mainframe-based back office.

Program Trading – Developed workstation-based systems to automate program trade processing. Systems processed baskets for crossing among multiple customers. Index baskets were calculated and automated trades generated and routed to DOT for execution. Executed trades were routed directly to the backoffice system for final processing.

Disaster Recovery – Led task group to develop disaster recovery plan for the Equity Sales and Trading group. Plan included contingency office space for sales and trading personnel, voice and data communications, data center backup and third party data and service providers.

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 systems. Primary responsibility is developing long-term system strategies and tactical solutions for more immediate concerns. Also perform and/or oversee the evaluation and selection of all hardware and software products including processing packages, development tools, databases, LAN NOS's, office automation packages, etc. Specific projects are as follows:

Disaster Recovery – Led 50+ member team of engineers and technical personnel to construct a 200-station contingency trading room after the 1993 World Trade Center bombing. Work included desks and chairs, electrical requirements and wiring, telephones, faxes, copiers, terminals, data communications circuits, food, water, office supplies, security and reestablishment of third-party vendor services.

Equity Settlement and Clearance - Responsible for production support of all settlement and settlement-related systems. Successfully migrated in-house system to an external service bureau to increase capacity and provide business continuity. Developed all requisite communications systems and provided integration to internal systems.

Fixed Income Settlement and Clearance - Managed a group of 6 developers who directly support the operations and accounting departments for FI settlement and clearance. Discrete systems provide back office processing for Government, Municipal, Corporate, MBS, CMO and Canadian bond brokering.

Accounting - Installed the Ross accounting package.

Compliance - Introduced the concept of optical storage technology to archive all transaction data as well as report files (microfiche).

PRUDENTIAL SECURITIES INC.
First Vice President

9/87 - 4/92

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

Derivatives – Created the SWAPS Interest Rate Swap risk management and settlement system.

Equity Research - Quantitative modeling of Stock indices performed to publish recommendations to customers and other industry groups.

Investment Banking Group – Supported all local computing needs including office automation, PC's, LAN's, VAX and mainframe PC integration.

Legal/Compliance – Installed case management system to maintain case-related information for contract, litigation, employment and general business matters.

Government Bond Trading - Managed group maintaining this trading system.

EDUCATION: St. Peter's College
BS, Mathematics, 1976

LICENSES: NASD Series 7 and 63

SOFTWARE: COBOL, 'C', C++, VISUAL BASIC, JAVA, PERL, AWK, SQL, XML, UML
Shell Scripts, FORTRAN, ORACLE, DB2, INGRES, SYBASE, PASCAL, Erwin,
Lotus NOTES, MS Access, MS Project, MS Office, Visio

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