



■CORE COMPETENCIES■

- Strategic Planning & Execution
- Governance Design & Effectiveness Assessment
- Operational Excellence & Performance Management
- Resource Management & Optimization
- Thought Leadership & Process Innovation
- Change Management
- Risk Identification & Remediation Solutions

■PROFILE■

- Possess staff, management and executive-level experience in developing, leading, implementing, and collaborating on strategic initiatives, business transformations, functional processes and operational improvements within public and private sector organizations.
- Seasoned professional with demonstrated leadership and operational management experience in the areas of audit, accounting, corporate finance, risk management, trading, and compliance, accumulated within the U.S. financial services, electric and natural gas utility, higher education and governmental sectors.
- Proficiency developing, guiding, managing and motivating staff and cross-functional work teams to the achievement of business objectives and goals through effective organizational structures, performance management, process design and risk identification and remediation.
- Trusted advisor to board level audit committee, and executive and operational management, with recognized skill providing constructive and executable recommendations to improve the design, efficiency and the operating balance between business practices and governance.
- Knowledgeable in practices that can serve to strengthen an organization's ability to enhance the efficiency of operations, the reliability of financial reporting and compliance with laws and regulations.
- Working knowledge of: general accounting and budgeting; portfolio management; internal audit standards/practices/activities (operational, IT, financial, compliance, SOX) and internal controls best practice frameworks (COSO/COBIT); enterprise risk management and regulatory compliance practices; financial/credit risk management practices; energy trading operations, contracts and collateral documentation and; corporate finance/treasury management.
- Professional profile combines broad quantitative and performance-driven managerial experience, with transaction structuring/risk evaluation skills and a continuous process-improvement mindset.
- Experience developing Enterprise Compliance and Enterprise Risk Management Frameworks using best practices.

■PROFESSIONAL EXPERIENCE■

County of Santa Barbara

Santa Barbara, California

2017-Present

Internal Audit Chief

Recruited to transform the internal audit division into a value-added function, with accountabilities including the following:

- Development and administration of an enterprise-level risk assessment methodology to identify and catalogue key enterprise processes, risks, internal controls, emerging risks and compliance obligations
- Development of a risk-based enterprise-level annual internal audit plan
- Implementation and administration of a whistleblower hotline
- Development of functional performance measures and objectives
- Development and implementation of formal training curriculum for internal audit staff
- Oversight of audit engagements including planning, scoping, work program development, fieldwork, observations, final audit reports, and tracking of management action items
- Recruiting, developing and managing audit staff, charged with identifying and recommending improvements to the effectiveness of the system of internal control
- Development and implementation of enterprise Internal Control Policy and training based upon well regarded internal control frameworks
- Evaluation, selection and administration of audit engagement workpapers software

University of Texas System

Arlington, Texas

2016-2017

Chief Audit Executive – Institutional (UT Arlington)

Helped to ensure effective internal audit function was in place with a focus on adding value and improving the operations, risk management, control and governance processes. Provided stakeholders with risk-based, objective and reliable assurance, advice and insight, in compliance with professional and governmental auditing standards, and assisted in helping to accomplish organizational goals and objectives through the following accountabilities:

- Designing and implementing an annual audit-plan risk assessment methodology linked to organizational strategic objectives, operational priorities, and best practice internal control frameworks
- Administering, with appropriate stakeholder involvement and approval, a risk-based annual audit plan (Assurance & Consulting services for: *Financial, Operational, Compliance, IT, etc.*)
- Managing staff towards the timely accomplishment of the internal audit plan and monitoring progress based upon the Institute of Internal Auditors (IIA) International Professional Practices Framework; coordinating external audits and regulatory reviews;
- Providing verbal and/or written communications of audit findings, coordinating remediation efforts with management, and reporting on the status of outstanding management action plans
- Ensuring that external quality assurance review is conducted at least once every three years
- Conducting continuous improvement activities to ensure the availability of a value-adding internal audit function
- Developing Office of Internal Audit 3-year operating plan to include budget, performance metrics, staff competencies development, strategic initiatives and functional points of focus
- Facilitating the institution's Enterprise Risk Management (ERM) initiative through the development of a conceptual design for an ERM Program framework based upon reputable benchmarks and best practices

Chief Audit, Ethics and Compliance Officer – Senior Director

Enhanced the effectiveness of Company's governance model with appropriately designed, targeted and implemented operational practices, and staff level competencies, that supported a strong ethical climate, and facilitated operational, financial and compliance related success. Continually evaluated the effectiveness of the governance framework and operating model, in balancing multiple stakeholder interests against the goals of business-support functions, business-control functions, and cross functional operating committees

- Member of Company's senior leadership team with direct reporting line to the audit committee
- Served as *Chief Audit Executive* with oversight of the internal audit function, development of the Company's annual, risk-based internal audit plan and execution of financial, operational, compliance and information technology (I.T.) audit engagements
- Served as *Chief Ethics Officer* accountable for the effectiveness of the Company's Ethics Program, in creating ethical awareness, a highly ethical culture, and preventing and detecting ethical lapses, through education, outreach, investigations and corrective actions
- Served as *Chief Compliance Officer* responsible for designing risk-based Enterprise Compliance Program: Program includes a standards and principles framework; self-assessments against program compliance process controls; maturity evaluation of capabilities infrastructure used to support effectiveness of compliance process controls; development of improvement plans to address control and infrastructure deficiencies identified; and quality control audits of the Enterprise Compliance Program
- Increased productivity in the annual volume of internal audit reports issued through use of more effective metrics and optimization of existing audit staff
- Transformed the design of internal audit reports to be consistent with best practices by incorporating the Committee of Sponsoring Organizations (COSO) and the Control Objectives for Information and Related Technology (COBIT) frameworks to evaluate organizational internal control strengths and deficiencies
- Designed prototype for a first-ever, enterprise level values-based Code of Conduct
- Accountable for updating board (via audit committee) and executive leadership on audit, ethics and compliance issues and trends
- Served as designated *senior manager* accountable for oversight of compliance with North American Electric Reliability Corporation (NERC) Critical Infrastructure Protection (CIP) standards
- Directed attitudinal change through redesign and enhancement of job descriptions and performance evaluations that included employee demonstration of shared organizational values and behavioral principles
- Member of senior leadership team accountable for evaluating and advising executive leadership and audit committee of the board of trustees on the design and operating effectiveness of the Company's governance structure, control environment, risk assessment process and internal control activities
- Member of the policy review committee, tasked with providing assurance that policies align with business goals and organizational governance objectives
- Collaborated with Enterprise Risk Management and other senior executive stakeholders to identify key enterprise risks facing the Company
- Member of the financial disclosures review working group
- Developed and implemented the audit, risk and compliance three-year strategy, budget and operational plan
- Served as project sponsor for the Company's compliance systems upgrade efforts that served to implement an integrated, enterprise wide system of record for regulatory and policy related compliance obligations, process workflows, control owners, and controls testing and document warehousing

SOUTHERN CALIFORNIA EDISON

Rosemead, California

2010 - 2013

Oversaw staff, executed operational practices and provided peers and senior management with solutions-oriented recommendations to facilitate commercial activities consistent with growth and customer service targets, and better manage operational risks of the organization to within risk tolerance levels

Manager – Audit Services

- Collaborated with, and sought input from, key stakeholders to identify enterprise risk risks which merited internal audit focus
- Influenced the development of, and target focus areas for, the Company's annual risk based internal audit plan
- Planned, supervised and directed audit engagements, with particular focus on valued added recommendations impacting the Company's risk management department, and its multi-billion dollar energy services department
- Assessed the operating effectiveness of Company's internal control activities within the Company's risk management department and its multi-billion dollar energy services department, through review of SOX 404 testing of key controls, walkthroughs and documentation of deficiencies

Manager –Project/Product

- Assessed risk profiles of several counterparty credit limits, and multi-million dollar, multi-year, commodity transaction structures to support and enable commercially feasible solutions for short and long term electricity generation, electric and natural gas procurement activities, and financial hedging strategies to satisfy customer needs and the Company's risk tolerance levels
- Served as risk management lead accountable for counterparty relationship management in negotiation of terms and conditions for large, complex contracts (for Power Purchase/Sale, ISDA, NAESB, EEI, WSPP)
- Provided thought leadership in proposing credit risk mitigation alternatives to facilitate commercial efforts and transaction execution
- Provided guidance to risk management staff to ensure appropriate process controls were in place to manage daily counterparty credit and liquidity exposures

PACIFIC GAS AND ELECTRIC COMPANY

San Francisco, California

2007- 2010

Developed and successfully managed department business plan, and risk management organization that effectively supported the Company's commercial and operational needs, while balancing these needs against its policy level risk tolerances

Manager – Credit Risk

- Developed, modified, implemented and/or ensured compliance with Company's risk policies, SOX related key controls, tariffs and guidelines related to commodity procurement and hedging activities while adapting policy responsiveness to evolving electricity market requirements
- Collaborated with front office personnel, structuring department staff, legal services, market risk department, contract management and treasury functions to appropriately balance: commercial needs related physical commodity procurement activity, liquidity constraints and risk tolerance
- Assessed risk profiles of several counterparty credit limits, and several multi-year, multi-million dollar commodity transaction structures that enabled and supported commercially feasible solutions for short and long term electricity generation, electric and natural gas procurement activities, and financial hedging strategies to facilitate meeting customer requirements and the Company's risk tolerance levels
- Oversaw negotiation of procurement contract language (Power Purchase/Sale, ISDA, NAESB, EEI, WSPP, GTSA) and other credit risk mitigation alternatives (including structured credit products: clearing brokers, exchanges, ISO) to facilitate commercial transaction execution
- Provided leadership and guidance to risk management staff; developed department operating plan and related performance metrics, administered performance evaluations, designed business improvement

initiatives; oversaw departmental reporting responsibilities (SOX, credit exposure, collateral forecasting, variance analysis and regulatory)

PRIOR TO 2007

RELIANT ENERGY, INC.

2006 – 2007

(predecessor to NRG Energy, Inc.)

Houston, Texas

Manager – Credit Risk

SHELL OIL COMPANY

2005- 2006

Houston, Texas

Specialist - Credit Analysis

TXU Corporation

2002- 2005

(predecessor to Energy Future Holdings, Inc.

and Luminant Energy)

Dallas, Texas

Manager - Large Commercial-Industrial and Wholesale Trading Credit

Manager - Credit and Collections

Manager - Risk Assessment

AMERICAN INTERNATIONAL GROUP

1996 – 2001

(and predecessor - American General Corporation)

Houston, Texas

Fixed Income Trader - Money Markets

Senior Financial Analyst- Corporate Finance

Investment Analyst – Operations (Securities Accounting)

■EDUCATION■

●Executive - Accelerated Development Program

Rice University

Houston, Texas

●Masters - Accounting

University of St. Thomas

Houston, Texas

●Bachelors - Business Administration

Southern Methodist University

Dallas, Texas

■CERTIFICATIONS and CERTIFICATES■

●Certified Public Accountant **(CPA)**

●Certified Fraud Examiner **(CFE)**

●Certified Internal Auditor **(CIA)**

●Certified Compliance and Ethics Professional **(CCEP)**

●Certified Information Systems Auditor **(CISA)**

●Financial Risk Manager **(FRM)**

●Chartered Financial Analyst **(CFA)**

●Lean Six Sigma Green Belt

●Certified Treasury Professional **(CTP)**