
Finance Auditor Director Diane

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Internal Audit Director

Risk Management | Internal Controls Design, Implementation, and Testing | Capital Analysis
Audit Team Development/Management | Domestic & Global Audit Projects | New Technology Implementation

Direct teams performing internal control design documentation and effectiveness testing to ensure compliance with regulations, GAAP, and SOP. Administer audit, expense, and staffing plans for teams of senior field auditors responsible for evaluating internal control systems for domestic and global business activities.

Dynamic relationship builder with colleagues, senior managers, regulators, and board members. Recognized for innovative thinking, consultative management style, and promoting industry best practices. Actively involved in leadership positions in professional organizations. Articulate communicator and presenter.

EXPERIENCE AND ACCOMPLISHMENTS

NNN HHHHHH INSURANCE GROUP, City, State xxxx – Present
Publicly traded alternative risk management firm with \$xxx MM in assets, xxemployees; and offices in the U.S. and Bermuda

Director of Internal Audit

Oversee global internal audit activities related to the company's insurance carriers, agency operations, and managed fee services. Actively participate in Audit, Disclosure, and Executive Committee meetings.

- Established a comprehensive, risk-based internal audit plan for the company, replacing an outsourced version, which provided limited, project-oriented audit coverage.
- Developed the strategy, scope, and documentation standards for evaluating and testing internal controls over financial reporting to comply with current regulations.
- Consulted with management to implement appropriate remediation plans to strengthen the control environment and improve operational efficiency, including new IT initiatives.
- Facilitated quarterly supplemental Audit Committee meetings to educate members on Sarbanes-Oxley compliance and communicate project status and issues.
- Consulted on numerous strategic projects, including implementation of a reinsurance accounting system, streamlining the financial close process to meet the revised SEC filing deadlines and enhancing receivable and claim reconciliation procedures.

Xxxxxxxxxx, City, State xxxx – xxxx
xxth largest bank holding company with global operations, \$xx B in assets, and xx,xxx employees

Audit Group and Professional Practices Manager/First Vice President

Held responsible for corporate-wide audit for trust, retail, brokerage, investment, and insurance activities. Coordinated departmental activities and executed strategic initiatives for the internal audit function.

- Exceeded client expectations by resolving issues with integrity, influencing business unit control practices and consulting on process improvements, resulting in outstanding client survey results (3.8/4.0).
- Oversaw personnel management programs, including recruiting, training, developing, motivating, and reviewing performance that contributed to a staff turnover ratio 5 – 10% below industry norm.
- Coordinated the annual financial plan and forecasts for a \$6 million departmental operating budget.
- Chaired the Process Improvement Committee that researched industry best practices to enhance audit department policies and procedures contributing to a 95% colleague satisfaction rating.
- Worked with vendor to upgrade the department's Lotus Notes based work paper software package.

FINANCE AUDIT DIRECTOR DIANE, continued

Phone | Email

XXXXXXXX (acquired by XXXXXXX), City, State

XXXX – XXXX

4th largest bank holding company with global operations, \$xxx B in assets, and xx,xxx employees

Audit Group Manager/First Vice President

Held audit positions of increasing responsibility for business activities including commercial, investment, deposit operations, treasury management, retail, and corporate staff functions.

- Prepared annual audit plans/budgets allocating available resources to areas of greatest risk.
- Scheduled, planned, and directed audit projects ensuring timely completion within budget.
- Selected, hired, trained, and evaluated employees. Motivated personnel through difficult transition periods.
- Reviewed work papers and reports. Provided feedback to promote quality audit products.
- Ensured audits complied with requirements of outside accountants and regulatory agencies.
- Managed reviews of merger integration initiatives, including system conversions and operations consolidations. Provided readiness assessments to management and performed post-event monitoring.

EARLY CAREER

Foundational career experience spanned public accounting, consumer services, and financial services with a focus on financial audit, reporting, analysis, budgeting, and cash management.

EDUCATION / PROFESSIONAL CERTIFICATIONS

M.B.A., Finance, CASE WESTERN RESERVE UNIVERSITY, WEATHERHEAD SCHOOL OF MANAGEMENT, Cleveland, Ohio, year

B.B.A., Accounting, MICHIGAN STATE UNIVERSITY, East Lansing, Michigan, year

Certified Information Systems Auditor, year

Certified Internal Auditor, year

Certified Bank Auditor, year

Certified Public Accountant (CPA), year, lapsed

PROFESSIONAL INVOLVEMENT

- Institute of Internal Auditors, 1st Vice President (xxxx), Board of Governors (xxxx); member since xxxx
- Information Systems Audit and Control Association; member since xxxx
- Bank Administration Institute, XXXXXX Chapter President, xxxx; member xxxx – xxxx
- Beta Gamma Sigma Business Honor Society; member since xxxx