

JOHN SMITH CPA, CIA, CISA

INTERNAL AUDIT | RISK MANAGEMENT METICULOUS ■ VERSATILE ■ PRAGMATIC
FINANCE | COMPLIANCE | OPERATIONS | IT | FORENSIC

Internal audit and risk manager **trusted by Big 5 firms and Fortune 200 companies** combines 20 years of corporate internal audit experience with demonstrated leadership abilities, delivering 300+ flawless audits identifying and mitigating business risks. Differentiated by integrated experience in six FFG areas including **forensic audits and ground-up development and implementation of IT internal audit quality control program.**

Inspiring leader develops risk indicators, internal audit policies, and risk mitigation controls, **providing continual improvement of financial, operational, and regulatory processes.** Directs and coordinates teams during implementation of developed controls across multiple governance, risk, and control areas.

DELIVERING RESULTS

- ✓ Reduced hourly audit support cost 15% by **aggressively negotiating reduced rates with Big 5 firms.**
- ✓ **Retained \$8M client** by communicating internal audit value to audit committee—eclipsing peers in objective measures across budget, staffing, productivity, and ROI.
- ✓ **Earned highest rating for conformance to professional standards** from the Institute of Internal Auditors in connection with company-first audit-quality-control program at Fargo.
- ✓ **Oversaw concurrent audits across multiple sites** for military weapons supplier and Fortune 200 companies.

EDUCATION & CERTIFICATIONS

MASTER OF BUSINESS ADMINISTRATION (MBA) | Florida State University| Miami, FL
BACHELOR OF SCIENCE (BS) IN BUSINESS ADMINISTRATION |Brown University| West Hill, MA

Honors: *magna cum laude*

MICHIGAN CERTIFIED PUBLIC ACCOUNTANT (CPA) | Board of Public Accountancy

CERTIFIED INTERNAL AUDITOR (CIA)| Institute of Internal Auditors

CERTIFIED INFORMATION SYSTEMS AUDITOR (CISA) | QUAD SYS

CERTIFIED INFORMATION SYSTEMS SECURITY PROFESSIONAL (CISSP) | QUAD CORE

CAREER HIGHLIGHTS

FARGO | WEST HILL, MA

2010 – PRESENT

SENIOR MANAGER, INTERNAL AUDITS

Governance Risk & Control Reviews | Data Analytics | HIPAA Compliance | Post-Implementation Review | Sarbanes-Oxley Control Testing (SOX) | Disaster Recovery | Anti-Bribery & Anti-Corruption (ABAC) | Due Diligence

Chosen due to integrated experience with non-finance audits and ability to deliver on vice president’s top priority—eliminating waste throughout the organization. Trained and mentored incoming auditors and teams, enabling organizational growth and enhancing client satisfaction. Trusted with increasingly challenging assignments including fraud-prevention training and program development, leveraging background in forensic audits and risk management.

- ✓ Directed first governance review of company’s largest service provider with spend budget of more than \$415M.
- ✓ Built cross-functional teams and trained auditors on newly implemented procedures, triggering 12% and 19% reductions in audit time for vendor governance and system implementation audits, respectively.
- ✓ Partnered with VP to establish flexible, pragmatic audit guidelines with sound mitigative strategies that preserved strong working relationship with management and elicited cooperation from all levels.

NOTABLE ACCOMPLISHMENTS

Managed relationship with Big 5 co-source provider with \$620K spend budget.

Managed integrated finance & pharma compliance audits at affiliates in 20+ countries

FORWARD FINANCIAL LLC | MIAMI, FL **2009–2010**

DIRECTOR OF INFORMATION TECHNOLOGY

Quality & Performance | Change Management | System Development Life Cycle (SDLC) | Cost-Saving Solutions | Executive Relationship Management | Vendor Partnerships | Quality Assurance |

Recruited to manage international portfolio worth \$2.5M. Leveraged non-financial audit experience and project management skills to coordinate simultaneous international audits. Led diverse teams in highly scrutinized audits for military and Fortune 200 leaders.

- ✓ Liaised with all levels of management, translating complex risk and control indicators and mitigating strategies into easily understood terms—gaining buy-in, increasing cooperation, and ensuring understanding of audit findings and recommendations.
- ✓ Created and presented audit structure program blueprint to senior-level executives of \$320M medical device company with no internal audit function; gained buy-in for program implementation and ensured SOX compliance for company while substantially minimizing audit costs for client.
- ✓ Mentored junior auditors, encouraging professional growth and continued education efforts for team members; provided performance feedback and opportunities for increased responsibility while incorporating team ideas into solution design.

FARGO | WEST HILL, MA **2009 – 2011**

MANAGER, INTERNAL AUDIT

Joined team shortly after Massachusetts adopted first-ever “sunrise law” mandating detailed reporting of all health care professional payouts by pharmaceutical companies. Single-handedly tackled compliance issues magnified by lack of precedent in that no other pharma company had ever conducted “sunrise law” transparency audits.

Fargo Continued ...

- ✓ **Achieved and maintained transparency compliance** through substantive research of enacted statutes, comprehensive analysis of existing organizational procedures addressing transparency, and design and implementation of comprehensive audit procedures.
- ✓ **Earned reputation for ability to independently oversee and conduct audits** with no direction, increasing VP's productivity and focus on company growth.

BIO TECH CORPORATION | HOUSTON, TX**2004 – 2009****SENIOR FINANCIAL ANALYST** (2005 – 2009)**SENIOR INTERNAL AUDITOR** (2004 – 2005)

Quality & Performance | Cost-Saving Solutions | Due Diligence | Quality Assurance | Employee Training |
Mergers & Acquisitions | SOX | Anti-Bribery & Anti-Corruption (ABAC) | SAP Implementation | CSSO
Framework

Recruited to join new internal audit team for consumer product company during restructuring effort. Earned promotion by reducing fraudulent transactions 95%, realizing \$8M+ annually, while ensuring factual accuracy of reportable issues and adequacy of audit scope.

- ✓ Triggered 35% reduction in overhead expenses by monitoring key performance indicators, and served as consultant for process and internal control improvement.
- ✓ Collaborated with management to drive financial and operational risk mitigation activities and ensure key business risks were identified through appropriate risk-indicator development and monitoring.
- ✓ Improved supply chain and R&D operational processes.

BERGEN COMPANY, CPA | HOPE, NJ**2000 – 2004****FORENSIC ACCOUNTANT**

Earned employment subsequent to completion of internship. Conducted numerous fraud investigations involving embezzlement, bid rigging, and kick-backs—delivering essential evidence to clients for litigation and recourse efforts. Distilled complex financial data into readily accessible information for dispute resolution for insurance companies, attorneys, and business dissolutions.

- ✓ Investigated allegations of corruption and billing audit discrepancies for large clients in banking, insurance, and construction industries.