

David J Wilbur

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Information Technology and Management Consultant ~  
November, 1988 to present

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- Lead Consultant with expertise in:
  - Compliance, including Sarbanes-Oxley (SOX), AML/BSA, OFAC, SAR, EDD, FFIEC, FDIC, PCI, CobIT, SSAE 16, SOC 2, AMP, HIPAA, Basel II, Dodd-Frank
  - IT Risk Analysis & IT Risk Management
  - Software Development including all aspects of the SDLC (Software Development Life Cycle) including QA (Quality Assurance) testing and Agile Scrum development
  - Business Analysis
  - IT Audit
  - Software and Compliance Quality Assurance & Testing
  - Training
  - Project Management
  - Strategic Analysis & Planning
- **Over thirty years experience in all facets of information technology** as a Project Manager, Regulatory & Compliance SME, Controls Tester, Programmer/Developer, Database Administrator (DBA), Quality Assurance (QA) Tester, Quality Assurance Manager, Information Technology (IT) Auditor, Business Analyst and Systems Analyst.
- Hands-on technical experience as a programmer, analyst, DBA and tester.
- Capable and experienced in guiding a project from inception through analysis, to programming development, testing, implementation and end-user training.
- Able to engage and work with external auditors, C-level executives and rank-and-file technical personnel, including off-shore resources.
- Have worked successfully in pharmaceutical, banking, finance, retailing, entertainment, government, broadcasting, insurance, communications and manufacturing (automobile and chemical) industries.

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Premier Healthcare Exchange ~ Bedminster, NJ ~ June, 2012 – current

- Working as a Senior Consultant in a part-time advisory role for 2012 Privacy SOC 2 and HIPAA controls structuring, analysis and audit of this Health Insurance Claims service company. Establishing policies and procedures, designing controls and accumulating evidence for an external SSAE 16 audit and SOC 2 report on Privacy.

IntegriChain ~ Princeton, NJ ~ December, 2011 - current

- Director of Compliance for major supplier of pharmaceutical specialty data. Responsible for successful creation of 2012 SOC 2 (SSAE 16) controls report, including elements of security, availability, data handling, access and integrity. Coordinating and establishing UNIX-based external security and internal

processes and procedures for a well-controlled IT environment. Interacting with external auditors and internal IT resources.

- Sr. Project Manager and Project Planning lead for commercial software release including hardware acquisition and technical resource hiring, adherence to Agile Scrum SDLC methodology, testing and version control. Project planning and Agile Scrum methodology managed via VersionOne specialized tool.

AETNA ~ Hartford, CT ~ September, 2011 – December, 2011

- Performed an IT audit of financial and healthcare systems, with emphasis on IT controls and internal IT audit findings.

FRANdata ~ Arlington, VA ~ January, 2011 – August, 2011

- Banking Business Analyst responsible for Database construction, Data Mapping, Data Conversion, Data Mining, Discovery, Analysis and Quality Assurance in summarizing and documenting industry comparisons in support of bank loan evaluations for potential start-ups and acquisitions. Using Microsoft suite of tools, including SQL, SQL Server, Access, Visio and PowerPoint.

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FANNIE MAE ~ Reston, VA ~ September, 2010 – January 2011

- Project Manager of a data conversion and data mapping project. Responsible for Change Management, SDLC, Sarbanes-Oxley (SOX) controls remediation. Technology includes Rational ClearQuest, Remedy and SDLC methodologies including Waterfall and Agile. Responsible for SAS70 collection, analysis and review.

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PENTAGON FEDERAL CREDIT UNION (PFCU) ~ Chantilly, VA ~ July 2010 – August 2010

- Conducted an IT Audit on key systems. Investigated logical security access controls, SDLC, change management and PCI compliance. Assessed risk and effectiveness of IT controls for databases.

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GMAC RESIDENTIAL CAPITAL/ALLY BANK ~ Ft. Washington, PA ~ November 2007 - January 2010

- Project Manager for the Sarbanes-Oxley IT program. Responsibilities include project management, testing, QA review, interaction with Senior Management, including the executive suite, supervising a testing team from Ernst & Young (E&Y) of ten individuals and interaction with the Price Waterhouse Coopers (PwC) external audit team.
- Full SDLC Quality Assurance tester, including design of test plans and interaction with developers.
- IT controls tester for multiple systems, including installations of PeopleSoft, SAP, Hyperion and Oracle Financials
- Employed as a Risk and Compliance subject matter expert (SME) in a government mandated convergence from commercial bank to a Bank Holding company (Ally Bank).

- Performed Risk and Controls Analysis ahead of Anti-Money Laundering (AML) installation. Responded to Bank Secrecy Act (BSA) inquiries.
- As an IT Audit Manager/Analyst, have designed the internal IT Audit control environment and am managing the annual execution of IT controls testing
- Negotiated an audit and compliance agreement between the client and international governing bodies
- Established the standards for Email retention at GMAC Bank (Ally Bank) and managed the compliance with those standards
- Monitored and oversaw the annual SAS70 (now SSAE16) process
- All time details for the SOX program were managed using Clarity. File and document management used SharePoint and OpenPages, for which responsible for maintaining the data integrity of the repository of record

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STERLING BANCORP ~ New York, NY ~ August 2005 – November 2007

- Employed as a Business Analyst, Quality Assurance expert and Risk and Compliance expert, Systems Analyst and Database Design SME
- As a Risk expert, I initiated and tested the Bank's Email systems compliance standards against the Federal regulatory environment, including FFIEC, FDIC, and money laundering (AML/BSA) and SEC requirements. I participated as an advocate for the Bank in the annual FFIEC audit of IT systems, including Email.
- As a Quality Assurance expert, I helped established elements of Software Life Cycle Development (SDLC) procedures and tested their validity. I also tested new implementations of an on-line and mobile Bank Wire Transfer system and an on-line Mortgage Processing system. I authored test plans and executed the tests for the initial systems and their upgrade.
- Performed risk analysis, business analysis, product evaluation, testing and user acceptance for the Bank's Anti-Money Laundering (AML) software solution.
- As a Sarbanes-Oxley Compliance expert, I tested the Bank's IT processes and procedures against the Cobit standard ahead of the testing performed by the external auditors.
- As a Business Analyst, I designed a Sarbanes-Oxley data collection system and a Project Management system for compliance requirements. Worked with the Banks Board of Directors and Audit Steering Committee to build a robust compliance environment against the regulatory requirements.

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MULTIPLE SARBANES-OXLEY (SOX) AUDIT CLIENTS ~ various locations ~ May 2004 – July 2005

- I tested my client's IT processes and procedures against the Cobit standard ahead of the testing performed by the external auditors. Systems tested included installations of PeopleSoft, SAP, Hyperion and Oracle Financials.
- My clients included:
  - Superior Uniform Group ~ Seminole, FL
  - National Penn Bank ~ Boyertown, PA
  - The Bon-Ton ~ York, PA
  - Lincoln Financial Group ~ Philadelphia, PA
  - Drug Max ~ Farmington, CT
  - Pet Meds ~ Ft. Lauderdale, FL
  - Winn-Dixie ~ Jacksonville, FL

- My work included experience with the requirements as posed by the following auditing organizations:
  - PCAOB
  - ISACA (Cobit)
  - Price Waterhouse Coopers (PwC)
  - KPMG
  - Grant Thornton
  - Ernest & Young
  - Deloitte & Touche
  - Office of the Comptroller & Currency (OCC)
  - Federal Financial Institutions Examination Council (FFIEC)

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AMERICAN SOCIETY OF COMPOSERS, ARTISTS AND PERFORMERS (ASCAP) ~ New York, NY ~ August 2000 – April 2004

- Was contracted as a QA Tester and QA Project Manager for a three-tiered client server application to monitor collections, account information and financial systems for this fee-generating music company.
- The system was written in Visual Basic with a Microsoft *SQL Server* back-end. MTS, Microsoft *Transaction Server* was the middle-tier technology. Responsibilities included Project Planning (QA phase), auditing support, testing, including detailed SQL database queries, writing of test plans, management of testing, version control (Microsoft Visual SourceSafe), documentation and user training.
- Heavy interaction and communication with users, developers and management.
- Initial regression testing was accomplished with Rational *ClearQuest*, Rational *SQA Robot* scripts of my creation and load testing was performed with Rational *Load Test*. Chose new software and implemented a conversion to Mercury *WinRunner* for the testing future, including the building of regression tests using Mercury products *LoadRunner* and *TestDirector*.

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November 1999 – July 2000

METROPOLITAN LIFE INSURANCE CO. (MetLife) ~ New York, NY

My initial assignment was to act as a Business Analyst and Testing Specialist, particularly Load, Performance and Stress testing for a financial Web-based application. This application transformed a primarily manual Documents Management system into an automated Image processing system with links into Finance. The system was written in VB, JAVA and HTML. Use of testing technology included writing Rational SQA Robot scripts, SQA Load Test and direct SQL queries. As a Business Analyst, I created the test plans and participated in their execution. I also supervised a team of four testers, managed the QA portion of the project planning, including generating regular reports for upper management and the Project Management Office.

Once that assignment was completed, I was asked to act as IT Technical Recruiting Manager for the hiring of 40 IT contractors and full-time hires. Specialists recruited and hired were in the JAVA, FORTE, QA and Systems Support areas, including SUN/UNIX experts. I dealt with agencies and contractors, negotiated rates and salaries, screened resumes, conducted initial technical and “right fit” interviews and interacted extensively with upper management and Met Life Human Resources. I

reviewed RFPs, resource budgets and coordinated the personnel requirements of the team project plans.

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March 1999 - October 1999

WARNER-LAMBERT PHARMACEUTICAL CO. (now PFIZER) ~ northern New Jersey and worldwide

As a QA Project Manager, I was engaged in an effort to audit the Y2K preparedness of each of the mission-critical suppliers to the client. This involved my traveling the world (Rotterdam, Liverpool, Galveston, Kyoto, etc.) to meet with the senior management and technical staff of the IT groups, finance and manufacturing plants of these suppliers. Through an interview process, I gathered and analyzed information on Y2K readiness. I then authored an analytical report covering all of the supplier's internal IT, finance and manufacturing processes and their external customer relations, own suppliers and the surrounding community, such as ports and airports. From this report, buying decisions, sometimes involving millions of dollars, were made in preparation for the turn of the century. Technology used in this effort includes Microsoft Office Project, Excel and Word, cellular phones, e-mail and Internet browsers.

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September 1998 – February 1999

BMW AG, N. A. ~ Montvale, NJ

I was hired as a QA Project Manager and Testing Team leader for the client server portion of a corporate-wide Year 2000 project. I was responsible for project planning, budgeting and resource management as well as implementation of testing strategies for client server applications throughout the automotive company. Using SQA Manager and SQA Robot, the test team built test cases and automated test scripts for multiple Year 2000 scenarios. The applications are written in Visual Basic, Power Builder and use Oracle, Sybase and DB2 relational databases. The platforms include Windows NT, UNIX and IBM mainframes. Version control technology in place included PVCS. Microsoft Project was used for project planning. I supervised a team of 14 direct reports.

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December 1996 – August 1998

NATIONAL BROADCAST COMPANY (NBC) ~ New York, NY

Using SQA Manager and SQA Robot, I was the hands-on QA Project Manager and Lead Tester for a large and complex client-server system written in Power Builder with a Sybase back end. This system manages the complete process by which television programs are broadcast to affiliate stations of NBC. The Power Builder code runs on a Windows NT platform. I was responsible for creating test plans, writing test cases, SQA Robot scripts and for finding and reporting defects. The test team has fluctuated in size over time and I was heavily involved in the recruitment, organization and training of the team. PVCS version control software was in use.

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January 1996 - November 1996

SMITH KLINE BEECHAM PHARMACEUTICAL CO., Philadelphia, PA

In this return contract, I acted as INGRES DBA and ORACLE DBA during a migration from INGRES to ORACLE. Over one hundred databases were migrated. I was responsible for troubleshooting, space allocation and system environment maintenance. Work was done in a VAX Clustered environment running VMS and Open VMS. INGRES version 6.4 and ORACLE version 7.2 are the component database systems. I also participated as Project Manager and Data Modeler for an expert system to allow the matching of existing scientific skills sets in human resources to the Drug Discovery process. This was a large-scale data-mining project. Work was done in Oracle on UNIX with Visual Basic and includes SQA Robot as the testing tool. This was my second contract with the client.

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July 1995 - December 1995

PARSONS-BRINCKERHOFF ENGINEERING CO., New York, NY

As a developer, I provided programming support for an ORACLE Financials environment, including the HR, AP and GL components. Created, tested and implemented custom code to support the functionality of the ORACLE Financials installation. The programs were written to accommodate two simultaneous versions of the software, i.e. ORACLE Financials Release 9 and ORACLE Financials Release 10. In addition, a migration was underway from ORACLE 6 to ORACLE 7. Code was written in PRO\*C using imbedded PL/SQL.

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November 1994 - June 1995

NYNEX, New York, NY

As a QA Tester, I participated in a large-team development effort creating a company-wide Management Decision Reporting System, using data from throughout the company. Using Visual BASIC, Lotus Notes and ORACLE, developed a shadow system duplicating the main Pilot Lightship written system. This shadow system allowed the testing team to meticulously verify the functionality and accuracy of the main system. I used SQA Robot as the regression-testing tool. In itself, the effort represented a highly sophisticated and new means of testing a GUI system. The testing environment was centered on UNIX servers and PCs attached to a LAN.

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April 1994 - November 1994

RHONE-POULENC RORER, Collegeville, PA

I was responsible for maintenance and trouble-shooting of an INGRES-based VAX system to manage the regulatory requirements of worldwide registrations of drug products for this French-American pharmaceutical company. Designed and implemented a GUI 4GL query mechanism using Andyne GQL as the front-end. Benchmarked and fine-tuned the current client-server architecture within the

international Wide Area Network organization. I wrote Validation Test plans for FDA approval. Maintained programs written in INGRES ABF and VAX C.

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December 1993 - April 1994

PACT, INC., Wayne, PA

I was responsible for advising this medium sized subsidiary of Corning Pharmaceutical on advances in technology apropos of their business - a contract CRO facility. Developed and put into place several systems such as a payments system, an adverse experience tracking and S1639 generation system and a time sheet accounting system, among others. The work was done in Visual Basic, INGRES, Oracle and Paradox for Windows on PCs and HP UNIX platforms.

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November 1992 - November 1993

BARCLAYS BANK, PLC, New York, NY

Programmed and implemented a unique system to automate procedures for the Bank's Global Custody product, including creating a back-office utility system and a Customer Interactive Response system. The system tracks Corporate Actions regarding securities held by customers of the Bank and notifies the customers of impending decisions. The system supports a multi-billion dollar custodial business. At the same time, the system is the centerpiece of a new aggressive venture into the Global Custody marketplace. The system is written using INGRES 4GL, ABF, VISION and C on a UNIX client server.

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August 1992 - November 1992

SMITH KLINE BEECHAM PHARMACEUTICAL CO., Philadelphia, PA

I was engaged in a project to provide enhancements to existing INGRES ABF Financial systems on DEC VAX clusters in the U.S. and U.K., including General Ledger, Foreign Exchange, Project Costing, Revenue and Budget accounting systems. The system was created using C, SQL and DCL, an electronic distribution facility for a myriad of confidential reports produced regularly and in great quantity. These reports address the Research & Development needs of the company.

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September 1989 - April 1992

THE R. W. JOHNSON PHARMACEUTICAL RESEARCH INSTITUTE, JOHNSON & JOHNSON PHARMACEUTICAL COMPANY, Ambler, PA

Responsible for maintaining existing systems and the creation of new systems in the Clinical and Pre-Clinical systems area of the information service division. I initiated many enhancements to the system governing the gathering of data for use in clinical trials of a new pharmaceutical. Programs written have improved the analysis of adverse experience data, introduced error-checking capability to case record administration and

automated the reimbursements of expenses to investigators in the field. I also wrote Validation Test plans for FDA approval.

While there, I introduced new technologies to several areas of the process of bringing a new pharmaceutical to market, thereby streamlining the effort and realizing large-scale savings. In the course of the time spent, I oversaw the solution of technical problems such as system upgrades and network installations, as well. Throughout, I was involved in comprehensive training and documentation, including clinical validation of new systems.

The work done has encompassed a variety of software, including INGRES ABF, SAS, Oracle SQL\*Forms, FORTRAN, COBOL, C, Lotus 1-2-3, and other tools.

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November 1988 - July 1989

CITIBANK, NA, New York, NY

Designed and programmed a system to extract consolidated financial data from Lotus 1-2-3 spreadsheets, using Assembler, into ASCII files of a prescribed format. This facilitated transfer of data from worldwide affiliates to corporate headquarters. Consolidation occurred via an upload procedure to an INGRES database system custom designed for this purpose. Also, while there, I trained clerical staff in the use of Microsoft Word and MultiMate.

Programming work was done in INGRES EQUUEL/FORTRAN, VIFRED, QBF and PC Assembler (Intel 80386).

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Prior to 1988, I was Chief Operating Officer of a start-up company, subsequently sold, CIO of the Grace Commission in Washington, DC and employed as a senior programmer and analyst for W.R. Grace & Co. and Phelps-Dodge Corporation both in New York City.

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Men's Lacrosse Official ~ Greater Philadelphia Lacrosse Official's Association  
January, 2001 to present

In October of 2010, I officiated the inaugural Syracuse University alumni lacrosse game in the Carrier Dome before 6,000 fans.

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B.S. Biology ~ Syracuse University, class of 1978

B.S. Zoology ~ SUNY College of Environmental Science & Forestry, class of 1978

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