

## PHILIP LAW

22 Peabody Street,  
Piscataway, NJ 08854.  
(732)752-4194  
philip\_l\_1998@yahoo.com

**OBJECTIVE:** Seek a challenging full time Senior IT Audit/Risk Management or Senior Managing Consultant position to coordinate and plan IT Audit or Compliance Engagements; assist and advise Senior Executive Management to build an effective control environment and help company to achieve Audit, Legal / Regulatory, SOX, and Security Compliance via a cost-effective approach.

**EDUCATION:** 09/1985 - 12/1986 M.S. Computer Science Stevens Institute of Technology  
09/1982 - 05/1985 B.S. Computer Science Rutgers, the State University of New Jersey

### WORK EXPERIENCE:

#### Information Security Consultant at Protiviti (9/2011 – Present)

- Evaluated information security compliance for Aetna in-scope applications to ensure their effectiveness for identity & access management, access entitlements and recertification, inappropriate and generic shared access management. Conducted reviews to assess the controls' effectiveness. Aggregated all the results and findings and prepare deficiency reports to Aetna's Management Team for gaps remediation and corrective actions.

#### Senior IT Reviewer at American International Group, Inc. [AIG] (10/2007 – 6/2009)

- Planned, scoped and managed the pre- and post-Implementation project change activity review for AIG Global Email Messaging, Global Sensitive Data Loss Prevention, and Global Active Directory Deployment Programs for all AIG business sectors worldwide. Provided directions, supervision and guidance to US and regional audit managers and staffs to assess the effectiveness and completeness of internal controls over project risks, compliance and implementation activities. Conducted weekly global audit team meeting to track review progress. Aggregated all the results and findings and prepared periodic assessment and deficiency reports. Participated in Programs' Steering Committee Meetings and communicated findings and cost-effective recommendations to Senior Executives to aid them to develop effective controls to remediate deficiencies. Drafted and finalized monthly or bi-monthly reports on status of these critical Corporate Initiatives to the AIG Corporate Audit Committee.
- Participated as a contributing member in the Internal Audit Division's Quality Assurance Program to define quality standards and quality verification procedures for Planning Audits, Creating Audit Programs, Performing Audits, Completing Workpaper, and Issuing Reports to ensure a unified way to perform audit in AIG. Participated in a pilot program to evaluate the effectiveness of the newly defined quality standards and procedures.

#### Vice President/IT Audit Manager at Citi, Inc. [formerly Citigroup, Inc.] (7/2006 – 9/2007)

- Headed, managed, scoped and conducted the annual Citi Global SOX IT Audit for all the Citi business sectors and their worldwide operations. Worked closely with KPMG to identify a standard set of IT General and Application Controls based on PCAOB guidelines to be used for this global audit assessment. Provided directions, supervision, and guidance to US auditing staffs, Regional Audit Program Directors, Audit Managers and their staffs to assess and evaluate the effectiveness and completeness of internal controls, SOX IT governance, and the corresponding corporate IT policies, standards and procedures for all worldwide operations. Aggregated all the regional audit results and findings. Prepared audit and deficiency reports to be addressed at the Citi corporate level. Communicated findings and recommendations to the Corporate Heads and Global Business Sector Heads.
- Managed, planned and coordinated a Citi Technology Infrastructure (CTI) Global Audit for all US and worldwide operations. Provided directions, supervision and guidance to US auditing staffs, Regional Audit Program Directors, Audit Managers and their staffs to evaluate and risk assess the business sector's US and Worldwide Legal & Regulatory compliance, operating platforms & databases security, data center security, network & remote access security, disaster recovery & business continuity, change management, problems & incident management, user access entitlements, information security, vulnerability assessment, and vendor management. Prepared audit and deficiency reports and communicated findings. Provided recommendations to Global Business Heads to assist them to re-engineer the control processes and resolve issues to mitigate risks.
- Managed, planned, and executed a Citi Operations and Technology – Continuity of Business (COB) Audit for all US and worldwide operations. Provided directions, supervision, guidance, and details to auditing staffs to evaluate and assess the business sectors' readiness of recovering from disaster or pandemic strike. Assessed their Business Continuity Plan, Crisis Management Plan, Disaster Recovery Plan, RPO, RTO, Call Tree, Vendor Management Recovery Plan, Backup & Recovery Process, Recovery Sites (cold, warm or hot) readiness, Insurance, and pandemic readiness. Prepared audit and deficiency reports and communicated findings and recommendations to the Global Business Sector Heads to assist them to develop effective controls to mitigate risks.

### **SOX 404 IT Compliance & Audit Managing Consultant at Ajilon Finance (12/2004 – 3/2006)**

### **SOX 404 IT Compliance & Audit Managing Consultant at Lee Hecht Harrison, LLC (12/2004 – 3/2006)**

- Headed, scoped, managed, planned, coordinated and executed the whole SOX 404 IT projects and efforts for both companies and their worldwide operations. Worked closely with CIO, CTO, V.P. of IT, and Business Process Owners to evaluate US and global internal controls infrastructure to identify and implement key controls process designed to mitigate risks and monitor them for continued effectiveness. Provided directions, supervision, and details for staffs to create new and update existing LHH and Ajilon corporate IT policies, standards and procedures to strengthen the effectiveness of internal controls and to ensure corporate SOX IT compliance for both US and worldwide operations.
- Conducted financial portfolio analysis on all the LHH financial systems globally along with the key financial personnel to identify all the in-scope SOX financial systems. Evaluated and estimated the amount of efforts and resources needed to design, implement and test IT General and Application controls for all the in-scope financial systems worldwide. Created high level milestones, audit plans and detailed MS project plan to manage the IT SOX compliance project deliverables, milestones and resources allocation.
- Conducted IT risk assessments to identify risks and to create new and identify existing IT internal controls on new and existing processes for all LHH and Ajilon SOX financial systems globally. Created Risk Control Matrix, Process Narrative and Process Flow documents for new and existing processes using the COSO and COBIT model. Documented design and operational deficiencies found during documentation phase.
- Supervised and managed staffs to design, develop and execute tests for IT controls identified. Reviewed IT controls test design documents and test results work paper binders. Prepared audit and deficiency reports. Communicated findings and provided recommendations to remediate deficiencies to the CIO, CTO, V.P. of IT and Business Process Owners including control process re-engineering. Ensured changes to business IT processes are updated in the SOX documentation. Interacted with external IT auditors from PwC, KPMG and Ernst & Young (E&Y) to ensure the SOX efforts meet their certification requirements.

### **Sarbanes Oxley 404 IT Audit Consultant at United Parcel Service (UPS) (7/2004 – 12/2004)**

- Conducted IT risk assessments and client interviews. Identified IT internal controls, issues and risks on existing processes for all UPS Air Group, Supply Chain Solutions, Capital Corporations and Capital Business Credit financial systems. Created process narrative documents, sub-process narrative documents and process flow for new and existing processes. Designed, developed and executed tests for IT internal controls identified. Documented design and operational deficiencies for management reporting. Interacted with external IT auditors from Deloitte and Touche (D&T).

### **Project Manager/Senior Software Engineer at Telcordia Technologies [formerly Bellcore] (7/1994 – 6/2003)**

- Managed and coordinated project tasks and activities for various software development projects. Monitored activities of team members and ensure the schedule milestones and budget are being met by project life cycle activities. Provided cost estimates for new opportunities to clients. Coached project team members to help them achieve their milestones. Determined which version of the vendor software needs to be used. Coordinated and ensured all development environment and vendor software upgrades are done correctly for every release. Ensured the SDLC process is in compliance with ISO9001 and CMM Level 5 industry standards.
- Lead designer and developer of a Telephone Circuit Testing and Troubleshooting System using OOD, Java JDK/JRE (1.3.x, 1.4), JDBC, Swing, and JBuilder (3.0, 4.0, 6.0, 7.0, & 8.0) on Windows NT/2000/XP.
- Lead designer and developer of a set of GUI database table administration tools using OOD with Powerbuilder (V4, V5, V6, & V7) and Oracle (V7, V8) under MS/Windows NT 3.51/4.0.
- Designed and implemented a GUI interface for a CLLI and Wire Center manipulation system on MS/Windows NT 3.51 using OOD, PowerBuilder V4, Visual C++ V4.0, MS/ODBC, and Oracle Transparent Gateway to access DB2 data on MVS.
- Designed and implemented a GUI interface for a Client-Server network inventory administration system using JAM V6, C, Oracle V7/Pro\*C, OSF/DCE, and JPL on MS/Windows 3.11.

### **Member of Technical Staff at AT&T Network Systems (11/1992 - 7/1994)**

- Lead Designer and developer of an automatic Facility Provisioning for a Network Controller using C, Stage/Metatool, and Oracle V7 on HP-UX platform.
- Designed and implemented new features to support E1 Clear circuits and carriers for a Network Controller using C, Stage/Metatool, and Oracle V6 on HP-UX.
- Designed and implemented a Sub-Network Controller using C++, OOD & OOP Methodologies on HP-UX.

**Senior Software Engineer at Bell Atlantic Software Systems (2/1991 - 11/1992)**

**[Assigned to work in Bellcore for Bell Atlantic's ISCP Project - (2/1991 - 11/1992)]**

- Designed and implemented an Offline Media facility to perform Call Provisioning, Transfer, Activation, and Initialization using OOD & OOP with C++, X/Motif Widgets, WCL, and Xt Intrinsic under AIX.
- Designed and implemented a Call Processing Exception Message Handler using C++, OOD and OOP Methodologies under AIX.
- Designed and implemented a bulk Call Processing Records Activation facility for Database Records Conversion using C++, OOD & OOP Methodologies.

**Senior Member of Technical Staff at Concurrent Computer Corporation (CCUR) (1/1987 - 2/1991)**

- Designed and implemented a Run Time Library package in C that allows FORTRAN users to utilize the conventional UNIX and new CCUR real-time features.
- Designed, implemented and enhanced a prototype in C to simulate a subway traffic control and switching system under UNIX environment on new Micro III/V/3200 hardware platform.
- Modified the FORTRAN compiler and Run Time Library to support Micro III/V/3200 new hardware platform. Enhancement was done on machine dependent optimizations to speedup performance.

**SYSTEMS:** PeopleSoft, Oracle Financials, Solomon, Ceridian, MS/Windows XP/2000/NT (3.51, 4.0), MS/Windows 3.11, UNIX (HP-UX, AIX, SVR3, SUN, BSD, RTU), MS-DOS, OS/32, TOPS20, CP/M, PRO/OS

**IDE TOOLS:** JBuilder (3.x, 4.x, 6.x, 7.x, 8.x), PowerBuilder (4.x, 5.x, 6.x, 7.x, 8.x), MS/Visual Studio (.Net), Visual Basic, Visual C++, JAM

**LANGUAGES:** Java JDK/JRE (1.3.x, 1.4.x), Java Swing, Powerscript, HTML/DHTML, JavaScript, XML (Schema and DTD), Visual C++, Visual Basic, C++, C, JAM Programming Language (JPL), Pascal, Ada, FORTRAN, Basic, CAL/32

**TOOLS:** AutoAudit, PwC TeamMate EWP, MS Project, MS Visio, MS Office 2007/2003/XP/2000/97(Word, PowerPoint, Excel), MS/Outlook, Lotus Notes, Framemaker(4.x, 5.x), Adobe Acrobat Products, Chameleon NFS, FTP PC/TCP 3.0, eXceed, MKS Toolkits, PVCS, PC/DCE32, OSF/Motif, WCL, B/c/k Shell programming, nmake, Lotus 1-2-3, Nroff/Troff, RCS, awk, Stage/Metatool, Sable/Sablime, nTools, Ontrac, GNU WinCVS, FIXS

**DBMS:** Oracle V9/V8/V7/V6(SQL\*Plus, SQL\*Net, Pro\*C for Windows, Net8 Client), Sybase, JDBC, MS ODBC Drivers, Oracle Transparent Gateway, Informix DRDA Gateway, SQL, Ingres, Pro/Datatrieve, Dbase III

**AWARDS:** 2007 Citi ARR GT&CO Recognition Award  
2006 Citigroup ARR GTI Outstanding Achievements Recognition Award (SOX)  
1996, 1997, 1998 Bellcore Recognition Awards for Outstanding Achievements  
1998 Bellcore NCON 1.0 Recognition Award for Outstanding Achievements  
1998 Bellcore Center 252 Recognition Award for Excellence  
1992 Bell Atlantic Lump Sum Award  
1990 CCUR Outstanding Achievement Award  
1989 CCUR Lump Sum Award

**MEMBERSHIP:** ISACA – Information Systems Audit and Control Association

**REFERENCES:** <http://www.linkedin.com/in/philiplaw>