

ENJOLIQUE LEMAITRE

HIGHLY IMPACT CONSULTING LEADER

A proven business leader with a track record of accomplishment in supporting small businesses, as well as, the financial services industry in technology auditing and operational risk advisory managing multi-million projects. Excellent in the development and evaluation of risk frameworks, processes, procedures, and tools to identify risks, control gaps, controls weaknesses, systemic issues, and non-compliance.

AREAS OF EXPERTISE

HIGHLY COMPLEXITY CONSULTING
AUDITING
OPERATIONAL RISK ASSESSMENTS

BUSINESS OPERATIONS
POLICY DEVELOPMENT
QUALITY CONTROLS

ORGANIZATIONAL INITIATIVES
PRESENTATIONS
PROCEDURES DEVELOPMENT

TEAM LEADERSHIP
PROJECT PLANS
TRAINING

PROFESSIONAL OVERVIEW

LeMaitre and Associate

Principal | CEO

LeMaitre and Associates (L&A) is Charlotte, NC based management consulting firm specializing in operational risk management, and project management. We also offer North Carolina Notary Service for our clients. L&A is in business specifically to service small businesses including non-profits and not-for-profits that act as community assets. L&A exists to participate in the acceleration of sustainable and inclusive growth of small businesses.

Key accountabilities include:

- Development of the firm's infrastructure, managed overall business vision, long- and short-term strategies
- Oversight for firm resources, company training, media, and marketing
- Management over globally diverse staff, and assurance of consulting engagement quality
- Responsible for revenue growth and identifying sales opportunities

Protiviti

Senior Manager | Risk & Compliance Practice

Protiviti is a global consulting firm that offers consulting solutions in internal audit, risk and compliance, technology, and finance. It's 5,000 employees in over 70+ countries work to support its clients to 'Face the Future with Confidence'. Protiviti is listed as Forbes' best management consulting firm in 2018. Business development and consulting leadership on behalf of the Risk & Compliance practice.

Project work include the following in addition to budget tracking, management of team resources and travel, onboarding and training, and team performance management:

- Project management of a multi-million-dollar, large scale initiative to deliver an Enterprise Operational Risk Framework for a US National Bank including; industry perspective and Basel mapping to mature 7 operational risk program standard requirements, enterprise training on their Operational Risk Framework, implementation plans for the Operational Risk Organization's role in enabling and adhering to the 7 newly published risk program standard requirements, and a program monitoring scorecard to measure adherence to requirements within each operational risk program. Provided industry perspectives and thought leadership on establishing effective risk culture and program standard requirements.
- Project management of multi-million-dollar, multi-team initiative to mature an IT General Controls Standard Requirements and develop an Application Controls program for a US National Bank including; alignment to FFIEC guidance, development of training and awareness materials, enterprise benchmark dashboards for tracking

onboarding to new requirements, 'office hours' to support line-of-business leads. Development of program controls and metrics.

Management Consultant

WELLS FARGO

Wells Fargo is a multinational financial services company ranked 3rd on the list of largest banks in the US by assets. As of December 2017, it had 8,200 retail branches, and 13,000 automated teller machines. The company operates across 35 countries and has over 70 million customers globally. Data Management & Insights designs the future data environment, defining data governance and oversight, and partnering with technology to operate the company's data infrastructure.

Project work included:

- Leading member of the Process, Procedures, & Guidelines Team for Enterprise Data Quality & Monitoring division; Development of enterprise processes for data quality checks to be followed by Data Integrity Managers and their teams resulting in improvement of data across the enterprise for three main business lines including Community Banking, Wholesale Banking, and Wealth-Brokerage and Retirement, impacting 262K employees enterprise-wide.
- Created, facilitated, and delivered training modules to 60 employees across the division, covering topics such as the development of business quality roles and how to ensure data is timely, accurate, and valid.
- Gathered business requirements and collaborate with Data Integrity Managers to facilitate automation of data quality checks.
- Communicated with vendors regularly on feedback provided from quality analysts in order to enhance the AbInitio data quality tool for improved identification of data defects. Defining requirements based on user testing for platform enablement to provide automated data profiling, ongoing data quality checks, and calculation of data quality metrics.

VP, Program Manager

BANK OF AMERICA

Bank of America is a multinational financial services company ranked 2nd on the list of largest banks in the US by assets. The bank's more than 209,000 associates provide their products and services through 4,600 retail financial centers, approximately 15,900 ATMs, call centers, and online and mobile banking platforms. Enterprise Data Governance is accountable for the Data Governance Policy and data risk monitoring throughout the enterprise. Role responsibilities included:

- Managed a 5 workstream enterprise program for data domain governance in response to regulator findings and established procedures to further mitigate risks to acceptable levels, resulting in successful internal audit issue closure.
- Led the development of Tableau dashboards for the quantification of data quality risk within specified data domains. Oversaw business requirements development for dashboards, requirements alignment to bank examiner evaluations and executive management metrics. QA of templates including values, management of developer relationship.
- Led workstream developing remediation activities; quantifying residual risk, tracking remediation of project issues, timelines, and resources, and developing work responsibilities for each workstream.

Management Consultant

ERNST & YOUNG

EY (Ernst & Young) is one of the largest professional services firms in the world. EY provides assurance, tax, consulting and advisory services to companies by way of its 250,000 employees in over 700 offices around 150 countries in the world. Business development and consulting leadership on behalf of the Enterprise Risk & Controls practice included the below, clients included: American Express, BB&T, and Bank of America:

- Data Lineage: Supporting the financial services client with the enterprise initiative of mapping data elements found on line items of financial filings upstream through 'hops' from system-to-system and calculations through the organization ultimately to their first origins. The project also included a data controls assessment on key intervals in the data's lineage for assurance on data accuracy, completeness, and timeliness. Primary responsibilities were within the Project Management Office (PMO) workstream for the development of a playbook for the go-forward execution of

the work & examiner review, development of data control assessment test plans and templates, and delivery and development of project status presentations.

- Regulatory Exam Preparation: Supporting the financial services client with preparation for a financial reporting Regulatory examination. Primary responsibilities were within the Project Management Office (PMO) workstream for the coordination of 4 workstreams to facilitate the examination preparations; project plan tracking, facilitation of team routines, preparation and review of examiner requested artifacts, facilitation of executive dry-runs of meeting materials, and internal status reporting.
- Risk Framework Transformation: Supporting the financial services client with an operational risk framework transformation. Primary responsibilities were development of PRC (process, risk, and control) libraries, RCSA program enhancements based on industry best practices, and support with the selection and business requirements of a GRC (Governance, Risk, and Compliance) tool to support their risk management program.
- Leverage of Basel II risk framework, BCBS-239 guidance, GLBA, and industry best practices

VP, Corporate Operational Risk Manager

BANK OF AMERICA

Bank of America's Global Risk Management leads bank-wide initiatives for managing risk and sustaining a strong risk culture, including the development and implementation of risk management measures. Role responsibilities included:

- Led IV (Independent Verification) assessments on operational risk programs per Basel II AMA (advanced measurement approach) requirements for program requirement soundness and enterprise adherence to requirements.
- Oversaw enterprise-wide annual assessments and ongoing monitoring of programs, including Risk and Controls Self-Assessment (RCSA) activities, key risk indicators (KRIs), internal/external loss data (ILD/ELD), Scenario Analysis, capital model oversight, governance and reporting, and quality assurance/quality control.
- Evaluated programs and recommended potential enhancements to standard requirements and key controls.
- Assessed and documented adherence to policies and procedures and briefed executive leadership on risk assessments.

VP, Internal Controls Manager

BANK OF AMERICA

Bank of America's Vendor Management Control functions are accountable for ensuring awareness and monitoring adherence to enterprise vendor management policies.

- Led Risk & Control Self-Assessment (RCSA) activities for Tech & Ops Vendor Control Function to achieve management's sign-off and submission to Corporate Operational Risk per bank requirements.
- Developed RCSA dashboards that provided clarity and transparency to management regarding controls.
- Facilitated monthly data aggregation/analysis for management reviews to support semi-annual final assessments.
- Reviewed controls, metrics, performance trending, and test plans to enhance division's data maturity efforts.

VP, Business Controls

BANK OF AMERICA

Bank of America's COO division with Global Tech & Ops (GT&O) is accountable for delivering strategy and administration for the GT&O organization including control functions.

- Defined new standards operating procedures for a regulatory examination preparedness capability
- Executed exam preparation capability to support various technology groups; prepared exam letter and scope evaluation, including aggregation of requested documentation with review/messaging preparation.
- Supported development of kick-off and deep-dive presentation materials, also messaging for gaps & previous findings.
- Prepared presentations on likely exam/challenge questions and facilitated presentations, roundtables for consistent messaging, and review of regulator interactions best practices.

AVP, Senior Technology Auditor

BANK OF AMERICA

Bank of America's Corporate Audit Technology division maintains robust processes for reviewing technology and data risk and controls, and regulatory compliance throughout the Corporation. Role responsibilities included:

- Acted as Auditor-In-Charge for planning, executing, and delivering of risk-based application and IT reviews according to internal Audit's Tech & Ops audit, managing a seven-member audit team while overseeing audit planning, audit database preparation, test programs, travel planning, and team communication/collaboration.
- Headed audits of various technology groups for IT general controls, including SDLC procedures, logical access controls, physical access controls, incident management, disaster recovery planning/testing, and change management.
- Led audits of information security reviews (completeness, accuracy, and timeliness), security reviews (confidentiality, integrity, and availability), and infrastructure (standard build requirements, capacity monitoring/planning, and declining technology) in alignment with PCAOB guidelines, SOX requirements, COBIT framework, and internal bank standards.
- Developed annual IT Audit Plans, and supported IT stakeholders, self-identified audit issue opportunities, and provided process mapping, documentation suggestions, and audit issue remediation tracking up to validation.

EDUCATION & CREDENTIALS

- **Master of Science (MS), awarded in Information Assurance** – CAPITOL COLLEGE
- **Bachelor of Science (BS), awarded in Computer Engineering** – UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE
- **Certified Information Systems Auditor (CISA)** (Inactive) – ISACA
- **North Carolina Notary Public** – NC Secretary of State