

# CHRISTINE B. DOYLE

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## SENIOR EXECUTIVE: GLOBAL RISK / COMPLIANCE OPERATIONS

Resourceful Compliance Professional with extensive experience leading enterprise-wide compliance and risk management programs for the energy and financial services industries. Successful conceptualizing and implementing global regulatory and risk management policies and procedures, tools, and strategies to minimize costs while achieving compliance mandates. Technically proficient in broad range of bank regulatory compliance matters. Highly effective leveraging key stakeholder relationships, Six-Sigma based methodologies, and change management principles to deliver projects and processes that monitor, assess, and mitigate operational risks within corporate governance framework. Outstanding communication skills with proven ability to lead teams, resolve conflict, conduct negotiations, and manage regulatory relationships. MBA Graduate. Designated US and European “Co-Inventor” for Bank Patent (Compliance Key Risk Indicator (KRI) Tool).

### *Core Competencies:*

Regulatory Compliance & Operational Risk Management: SEC, FED, FINRA	Series 7 & 63 Licenses Exam & Issue Tracking	Risk Monitoring & Mitigation Strategies
Risk Controls & Self-Assessments (RCSA)	Management Exception Reporting	Risk-Based Tools & Solutions
Six Sigma Green Belt/Process Improvement	Change Management	Project Management Skills

## PROFESSIONAL EXPERIENCE

### **SIGNATURE CONSULTANTS, LLC – Charlotte, NC**

2009

#### **Director, Program Risk Management**

Led all aspects of risk management for a Smart Grid Program Management Office (PMO) responsible for modernizing Duke Energy’s power delivery system and customer interfaces. Managed two indirect reports. Leveraged Six Sigma-based process methodologies and standard project management principles to achieve program objectives across a five-state area. Led face-to-face training and small group work sessions for a diverse audience supporting workbook applications. Prepared and presented reports to senior management to address key project risks and critical issues for escalation and action. Tracked and managed documentation supporting program / business requirements.

- Reduced manual data entry by 67% by redesigning PMO data capture and reporting processes.
- Minimized risks for Duke Energy’s Smart Grid Program by developing and implementing a comprehensive step-by-step risk management guide to assist Business Field Managers in tracking and managing project risks.
- Improved performance across project lifecycle by spearheading a team in evaluating project risks and maturity to streamline project management processes and eliminate non-value added services.
- Accelerated program adoption by leveraging change management practices to design and deploy effective communication strategies and processes to overcome stakeholder resistance and increase understanding.
- Introduced basic process mapping, design and improvement tools to enhance visibility into key interdependencies and drive accountability for seamless integration.

### **BANK OF AMERICA – Charlotte, NC**

2000 – 2009

#### **SVP, Compliance & Operational Risk Manager, Supply Chain Management (2004 – 2009)**

#### **SVP, Senior Compliance Officer, Global Corporate & Investment Banking (2000 – 2004)**

Created, directed and implemented the risk governance framework and enabling infrastructure supporting the enterprise compliance and risk management program for a \$74 billion financial and banking services firm. Managed six direct/indirect reports. Partnered with Legal, Audit and other control groups to develop optimal monitoring strategies to drive efficiencies and reduce risk. Prepared and delivered senior level presentations & associate training/awareness on new/enhanced policies & processes. Created & maintained updated inventory of enterprise risk policies; established policy/procedure (P/P) governance processes. Directed audit/regulatory examinations, quarterly OCC/FED supervisory meetings, ongoing/ad hoc inquiries, regulatory reporting, risk response planning, document collection & quality control, and issues tracking.

- Advocated and enforced governance routines to maintain the timeliness and integrity of compliance & operational risk processes, tools, policies and procedures by: creating & chairing interdisciplinary Policy Review Council to monitor, review and update compliance “toolbox”; and identified, assimilated & documented best practices into on-line reference tool.
- Generated a 35% increase in self-identified key risk issues & approved business cases for mitigation by modeling Basel II risk taxonomy in user-friendly language, enabling more meaningful analysis & reporting of RCSA results.
- Designed & executed risk-based approach to assessing supplier compliance with final FACT Act/Red Flag rules; executed SCM monitoring objectives and third-party accountabilities on behalf of Enterprise Identity Theft Prevention Initiative.
- Initiated and led cross-divisional team to develop global SCM Business Impact Analysis used to document comprehensive Business Continuity Plan; coordinated and documented annual/as-needed updates to incorporate emerging events (pandemic).

- Served as SCM Privacy Business Unit Representative: documented & managed Privacy Event Reporting for associate and supplier privacy breaches; identified, assembled & coordinated Resolution Team activities, including appropriate notification and escalation; tracked and trended privacy event performance indicator.
- Managed regulatory reporting requirements including Sarbanes-Oxley, Bank Services Act, and FFIEC quarterly report.
- Minimized contract risks and financial liability to the firm by establishing a “roadmap” to incorporate risk management processes and controls within an on-line contract management workflow.
- Averted large business losses by providing risk leadership and direction to business on critical contract negotiation issues, ensuring achievement of business goals without compromising bank’s contractual protections.
- Surpassed regulatory compliance requirements by consolidating online internal / external portals to provide one central document repository and database to monitor and report on open risk and regulatory issues across global businesses.
- Decreased contract fines and penalties by 50% by steering a global initiative to implement tracking and online monitoring processes to reduce risk of contract non-compliance related to licenses with 3<sup>rd</sup> party software providers.
- Formulated key risk indicators (KRIs) to monitor critical risks, assess baselines and establish thresholds to track trends and compliance with Sarbanes-Oxley “Whistleblower Protections” mandates.

**WELLS FARGO – Charlotte, NC****1994 – 1999****Chief Operating Officer Capital Markets, Taxable Fixed Income (1997 – 1999)****Managing Director, Corporate Finance (1994 – 1997)**

Promoted to lead risk management initiatives supporting trading and middle office activities for a large banking firm with annual sales exceeding \$42 billion. Directed the development and management of a \$90 million annual operating budget. Managed business impacts of post-merger risk management activities. Created standardized risk monitoring, escalation, and management exception reporting processes.

- Generated 35% in projected cost savings by identifying and resolving defects for an internal technology infrastructure allocation process as well as redesigning a pricing model and performing a systematic audit.
- Delivered a risk self-assessment process tailored to identify and evaluate risks for trading and middle office operations.
- Initiated and launched an enterprise risk management tool that provided business segments the ability to determine a baseline risk profile, set a target level of risk management maturity, and successfully identify and close gaps.

**JOY GLOBAL, INC. – Brookfield, WI****1991 – 1994****Director, International Finance**

Managed an international treasury operation with accountability for corporate finance, offshore equity investments, foreign exchange & hedge portfolio, trade & project finance, and risk management for global \$2 billion capital equipment manufacturer. Reviewed financial, legal, and tax implications supporting overseas expansion projects.

- Designed and executed capital allocation strategies for 16 international subsidiaries located in Asia, Canada, Europe, and Latin America.
- Secured critical funding supporting business plans by structuring and negotiating financing based on determining an optimal capital structure, term and core funding requirements, dividend repatriation programs, and parent company equity infusions.
- Managed and reported a consolidated FX portfolio that included evaluating and executing appropriate risk management and hedging strategies to minimize FX exposure, while ensuring compliance with FASB regulations.

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**EDUCATION / CERTIFICATIONS / PROFESSIONAL MEMBERSHIPS****M.B.A. (Emphasis: Finance & Economics)**, University of Chicago, Chicago, IL (Honors)**M.A. in German Language (Minor: Linguistics)**, Northwestern University, Evanston, IL (Honors)**B.A. in German & Math**, Saint Louis University, St. Louis, MO**Certification:****Project Management Certificate**, University of North Carolina (Charlotte)**Six Sigma Green Belt** with Design for Six Sigma (DFSS)**Member:**

Project Management Institute (PMI)

Risk Management Association