

# JAMES BEATTIE

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## PROFILE

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I am a senior management consultant with an extensive background in the financial sector including banking, securities, insurance and “Big 5” consulting. My experience includes Project Management, Risk Management, Finance Management, Information Systems Technology, Corporate Governance and Audit. I possess solid expertise in project management, operational risk, business process re-engineering, information technology and accounting.

I’m a highly skilled team leader; a hands-on team player who leads by example achieving results through an inclusive, ‘action-oriented’ approach.

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## CAREER HISTORY




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**JAMES BEATTIE & ASSOCIATES LTD.**  
**Business Consulting Services**

**2002-CURRENT**

I’ve managed projects for IT implementations, operational risk, business reengineering, financial reporting and accounting reconciliations. My recent focus has been on IFRS conversion and operational risk, assisting financial institutions to develop processes for compliance with the Sarbanes-Oxley act, Ontario’s Bill 19, the Basel banking accords and IFRS migration. Recent client contracts Include:

- **Technology and business consulting, 2006 – current:** I set up business systems and provide ongoing IT support to a variety of independent small businesses. Services include IT management, web design and management consulting.
- **Governance consulting, 2006 – current:** Working with a consortium of independent consultants to develop SOX and general governance, auditing and project management strategies.
-  **Dundee Corporation, 2005 – 2006:** Program Director for SOX compliance for the Dundee group of companies. Overall program direction, management of six compliance projects, methodology development, implementation of risk management and assessment policies, accounting reconciliations and liaison with external auditors. The position reported to executive management and the Board.
-  **BMO Financial Group, 2005:** I provided quality assurance consulting services to the SOX project. I also consulted on methodology development and the development of sustainability strategies involving enterprise-wide operational risk policies. I worked with a large team of SOX analysts, risk managers, IT consultants and auditors.
-  **SAP Canada, 2004 - 2005:** I managed the Sarbanes Oxley Compliance project consisting of 17 sub-groups and including coordination with worldwide SAP compliance. I also worked on the development and implementation of the SAP MIC system which is the SAP workflow and repository tool for management of internal controls.



- **RBC Financial Group, 2003 - 2004:** Project lead for Sarbanes Oxley compliance for RBC Investments domestic and international operations. Managed 3 teams of risk, IT and process specialists, liaised with management and implemented risk methodologies.
- **Various contracts, 2002 - 2003:** Conducted scoping and planning reviews and developed business case solutions. Developed operational risk assessment, control evaluation and process mapping methodologies. Managed process re-engineering projects. Consulted on development and implementation of the CDS clearing services risk model.



**THE CANADIAN DEPOSITORY FOR SECURITIES LTD. 1997-2002**  
**Director, Risk Management and Quality Practices**

I reported to the Chief Operating Officer, with an annual budget of \$2 million. I managed a staff of 10 risk professionals and was responsible for the development and oversight of risk management for Canada's depository and clearing corporation. Areas of focus included operational risk, settlement risk, business recovery and enterprise-wide risk strategy.

- Managed the operational risk function. Risk monitoring and reporting, risk assessment, policy development and implementation of an enterprise-wide risk program.
- Managed risk management projects including: Establishing the Project Management Office, Developing Disaster Recovery and Business Continuity Programs, MIS Neural Network, Risk Surveillance and Risk Quantification systems.
- Designed the CDS Clearing Services Risk Model – white paper published May 2002.
- Developed and implemented a risk based settlement netting service for debt clearing.
- Created methodologies, metrics and tools to quantify operational risk assessments.
- Chaired the Operational Risk Committee.
- Developed and implemented risk policies for project management, physical security, business continuity, change management, human resources, compliance and finance.



**DELOITTE**

**1995-97**

**Senior Consultant**

Reported to the Chief Administrative Partner as a senior consultant project manager to implement a firm-wide resource management system. This consisted of customized time, expenses, billing, and marketing systems incorporating PeopleSoft HRIS and payroll modules. The application was a 4 tier distributed client/server system serving 4,500 mobile users in 60 offices, delivered over a combination of WAN and Internet/intranet. Microsoft NT, SQL and Win 95 form the software infrastructure with WINFRAME server technology as the prime delivery platform.

- Developed detailed workplans, business requirements and technical specifications
- Developed RFPs for software, database, hardware and network services
- Conducted extensive proof of concept testing with Microsoft and Compaq



**JAMES BEATTIE & ASSOCIATES**

**1993-95**

**Independent Consultant Project Manager**

Managed projects to design, build and implement technology-based business solutions  
Assignments included:

- Workflows, corporate intranets, accounting system customizations, business cases and RFPs.
- Developed detailed strategies, work plans, business requirements and technical specifications
- Managed customizations, development, testing, documentation and implementations



**THE CANADIAN IMPERIAL BANK OF COMMERCE (CIBC) 1989-93**  
**Senior Project Manager**

Senior project manager, business re-engineering and technology projects.

- Managed projects to implement business systems at the CIBC Leadership Centre
- Managed projects to develop and implement trading risk management control systems
- Project manager for Management Information Systems
- Project manager for the annual HR strategic planning processes
- Developed and implemented project management office methodology and systems



**THE CANADIAN DEPOSITORY FOR SECURITIES LTD. 1982-89**  
**Senior General Manager**

Extensive progressive experience over six years in diverse senior management positions:

1. **Group Product Manager, 1986-1989.** Directed a major financial services product division including product development, marketing, sales, operations and the management of major systems projects.
2. **Manager, Corporate Finance, 1984-1986.** Managed the corporate finance division including treasury, controllership, budgeting and strategic planning.
3. **Manager, Systems Auditing, 1982-1984.** Developed systems audit concepts and managed the implementation of computer assisted auditing.

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## EDUCATION AND PROFESSIONAL DESIGNATIONS

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- B.A. Business Administration, York University
- Certified Internal Auditor (CIA)
- Certified Information Systems Auditor (CISA)
- Canadian Securities Course (honours)
- Registered Securities Representative (Honours)

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## SERVICE

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Volunteer at Sunnybrook Health Sciences Centre, Veterans Hospital

**2009 - Current**

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## SKILLS and PROFICIENCIES

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### **Risk Management:**

- Developed the enterprise risk management strategy for the Canada's securities depository.
- Developed state-of-the-art central counterparty financial risk systems including risk models, VaR based portfolio evaluation systems, and margining systems
- Developed a collateral management system to control \$2 billion in collateral funds
- Developed and managed operational and risk evaluation systems for a clearing corporation
- Developed advanced debt trade netting service with volumes of \$30 billion per day
- Developed and managed business continuity and disaster recovery programs
- Developed an MIS based neural network to monitor clearing and settlement risk
- Managed the risk finance and insurance program for the clearing corporation achieving increased protection and significant cost reductions
- Chaired the Risk Committee and developed risk policy for the Clearing Corporation
- Managed staff of 10 risk professionals focusing on operational risk management
- Reported to the Board of Directors and the Audit Committee on risk issues
- Presented at international conferences on operational, business, credit and market risk issues
- Consulted to international clearing corporations on risk strategy and systems

### **Project Management:**

- Managed projects to assess financial controls for compliance with the Sarbanes-Oxley Act, Bill 198 and Basel banking accords
- Developed IFRS migration plans and project management methodology
- Managed the customization and implementation of a time accounting and marketing system for a major professional accounting and management consulting firm
- Managed the establishment of a quality practices function to improve software development and operational effectiveness to ISO standards
- Co-managed a \$15 million Y2K system remediation project
- Designed, implemented, and managed a project management office based on PMI standards.
- Developed a project management system for a major Canadian bank
- Managed the customization and implementation of the D&B General Ledger, Accounts Payable and Fixed Assets system
- Implemented Lotus Notes including developing the business case, implementing the software, distributing the system to 500 users and managing support and application development
- Managed business continuity and disaster recovery projects.

### **Systems Design and Development:**

- Designed and built an executive MIS to provide critical management and operational data
- Designed and built a corporate intranet using Lotus Notes and Domino technology
- Developed Strategic Business Planning System for CIBC senior management incorporating on-line planning based on Lotus Notes technology
- Designed, developed and implemented client/server based budgeting system for CDS
- Designed and developed a Securities Information system for CDS
- Developed a revenue projection and cash flow system to monitor and project cash movements and to enable investment of unused funds
- Developed and implemented a securities event tracking system for CDS, enabling the corporation to meet legal obligations and deliver a revenue generating service