**AJ Finch**

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A Senior Technology Professional with over 20 years’ experience in software development and over 10 years of experience providing solutions to Regulatory Reporting and Compliance functions in financial services, including 5 years at Fidelity Investments and 10 years at CIBC.

I have delivered technical solutions enabling clients to resolve problems and remove pain points in the areas of: MiFID / Transaction Reporting (TRS), Know-Your-Client (KYC), Anti Money Laundering (AML), Reporting to the Panel on Takeovers and Mergers (POTAM) as well as other regulatory reporting such as Liquidity and Large Exposures. I am in the top 10% of users on StackOverflow.com. In my position at CIBC, I became the company’s senior analyst / subject matter expert on TRS.

## Key Areas of Expertise

**Transaction Reporting**

Know Your Client

MiFID

ASP.NET

C#

.NET

SQL Server

Sybase

Javascript/AJAX

HTML / CSS

Visual Basic / VBA

Excel, including macros etc.

Unix

Forest & Trees

Cybersecurity (GIAC) qualified

Relational Design; Object Design

XML, XSLT

Technical training

## Employment History

### **CIBC World Markets – Senior Analyst/Programmer 2001 to 2012**

London presence of the investment banking division of the Canadian Imperial Bank of Commerce.

**Key Projects & Systems:**

**Transaction Reporting**

First involved as software developer in the migration from the FSA’s “Direct Reporting System” to “Transaction Reporting” in 2006; then to implement new rules under MiFID in 2007. Finally as lead analyst in 2008, and becoming the company expert in TRS. I was a key member of the working group which (under the Chief Compliance Officer) was responsible for Transaction Reporting policy and ongoing operations.

TRS system was built using custom-built C# scheduler application to extract from Sybase (later SQL Server 2008), build XML file using ADO.NET and XSLT and SFTP to the FSA.

Key achievements:

* Over 10,000 transactions reported to the FSA
* No complaints / enquiries from the FSA
* Successfully migrated from FSA’s TRS ARM to LSE’s UnaVista
* 6 years on the steering group responsible for CIBC’s Transaction Reporting.
* 5 years on the working group responsible for impelementing CIBC’s Anti Money-Laundering policies.

**Compliance / Regulatory Reporting Data Warehouse**

Database of 1,000,000 trades / positions / cashflows, 28,000 Counterparties and 30,000 Instruments

Implemented using Sybase on Solaris, with front end applications in VB, VB.NET, C# and ASP.NET.

Later migrated to SQL Server 2008.

Data warehouse processed 150 feed files from 34 source systems, mostly on a daily basis. It fed downstream 3rd party systems such as FiRE, FRS and SPRiNG. Primary responsibilities at CIBC were to support this system to ensure smooth daily operation while developing its capabilities to meet changing business and regulatory requirements. This also involved supporting and educating users, who included traders, middle office, finance and compliance. Also took responsibility for disaster recovery planning and documentation.

Key achievements:

* No unplanned system outages
* Personally developed 30 new data feeds from 10 different systems
* Solved key problem of getting data from systems which were unable to send us feeds

**Client Onboarding (Workflow System for AML / KYC)**

Automation of paper-based client setup procedure. Developed a prototype workflow system which was then developed to production standard, and adopted by the bank *globally*. System has processed 3,000 clients since it went live in August 2009.

We implemented the system using SQL Server 2005, Sharepoint and ASP.NET (using C# 2.0).

Key achievements:

* Succesfully implemented powerful, generic document workflow system
* Global rollout
* 3,000 clients processed

**Client Working Party**

Sat on the “Client Working Party” committee which oversees the bank’s AML / KYC strategy and implementation. I represented the Technology function and advised on technical matters. As the technologist, I was responsible for running projects and delivering technical solutions to implement many of the committee’s policy decisions.

### **Fidelity Investments – Senior Analyst/Programmer (contract) 1995 to 2001**

**Key Projects & Systems:**

**Contact Tracking System**

Part of a team implementing a module for the company’s flagship deal management system which automatically tracks all contact with clients, e.g. phone calls, letters and physical meetings. In addition, it records system events: customer search; account enquiry; dealing; etc. This enables users to view a complete history of all interaction with a customer. Later productised this into a complete diary / customer / interaction tracking system. The front end was in C++, the back end was a Sybase database. We had to overcome significant performance problems due to the volume of data and potential peak number of concurrent users.

**Generic Reporting Tool**

Developed an innovative application which overcame many problems with packages like Crystal Reports. This was later productised as part of a commercial offering by Mutual Fund Technologies Ltd. The front end was VB 6, which was tightly integrated with a Sybase database giving a very simple interface for creating and updating reports and how they were presented to the end user.

**Time recording system**

A re-write to the system used by the technology department to bill internal clients. This project used Microsoft Transaction Server, ASP and ActiveX components.

### **Various Contracts – Analyst/Programmer and Trainer 1994 to 1995**

Delivered a variety of systems for Executive Information, Flexible Enquiries and Report Generation using Forest & Trees and Visual BASIC. Clients included: Zeneca Pharma, Bristol-Myers Squibb and Rhone-Poulenc Rorer

### **BP Oil – Programmer 1992 to 1994**

Developed EIS solution for BP Oil Europe using Forest & Trees, VB 3 and Oracle

## Other Responsibilities and Achievements

* Various church-based leadership/teaching roles working with young people.
* Travelled widely in Europe and visited Africa, Asia, Australia and America.
* Private Pilot's licence and a Flight Radio-Telephony Operator's licence.

## Education

Degree: Computer Science (2.2) from The University of Exeter (1989)

Professional: Completed SANS course 504 and associated certification in “Incident Handling and Hacker Techniques”. (2007; re-certified in 2011).

A-levels: Maths, Physics, German

## Interests

Digital photography and extensive worldwide group of friends