

VALERIE E. NIELSEN

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SUMMARY

Risk, audit and compliance executive with deep experience in the financial and professional services industries. Extensive background in risk management, internal audit, information security, data analytics, incident response and management, regulatory compliance, fraud investigations, and process design. Created risk and governance frameworks to effectively integrate with business operations. Skilled at developing data analytics to focus on predictive patterns, trends and actions to grow the business. MBA, and CPA.

PROFESSIONAL EXPERIENCE

Longview Leader Corporation, Chicago, IL 2019 - Present
Managing Director

- Managed a strategic risk and leader advisory consultancy to advise clients on solution development and leader accountability.
- Developed third party risk management education program for a Fortune 500 company in the insurance sector.
- Performed analysis to evaluate and diagnose business decisions for a \$1M boutique law firm. Resulting in a 20% fee increase within six months.
- Evaluated compliance activities for a money service business for a successful vendor evaluation by their data center provider.
- Executive advisor to individuals for digital relationship building and virtual leadership.

AON, Lincolnshire, IL 2014 – 2019
Vice President-Enterprise Risk Management

Joined firm to create an enterprise risk management function for the business unit centered on risk mitigation and internal control design.

Actuarial and Investment Management Business Unit 2017 – 2019

- Created overall risk management framework for this global business unit, including operations, data management, new products, compliance and third-party assurance.
- Responded to and resolved regulatory issues related to client facing marketing materials with no adverse effects.
- Implemented a third-party global risk management tool to track and assess remediation activities.
- Restructured common data source to ensure that only authorized persons could access privileged client data.
- Resolved 40 critical outstanding audit findings in 15 months.
- Managed 10 FTE's in Sydney, Dublin, London and Chicago.

Benefits Outsourcing Business Unit 2014 – 2017

- Immediately upon joining, tasked with managing part of a high-profile investigation including interfacing with third party auditors, client internal staff and law enforcement.
- Created risk management structure to evaluate new products to minimize operational and compliance gaps.
- Reduced and cleared 50% of the backlog of unaddressed internal audit and SOC1 findings in 18 months.
- Built the structure to analyze robotic processes to prevent conflicting responsibilities and maintain proper control points.
- Managed 24 FTE's in London, Hyderabad and Chicago.

HSBC, North America Holdings, Inc. Mettawa, IL 2008 – 2014
Chief Auditor HSBC Finance Company 2013 – 2014

- Direct and frequent interface with Audit Committee Chairperson.
- Reduced audit costs by outsourcing specialized audit areas to third parties.
- Analyzed key risk areas and developed the macro audit plan to focus on high value exposures and remediation strategies.
- Integral leadership role in the favorable resolution of a Cease and Desist Order from Federal regulators against the mortgage line of business.
- Conducted multiple fraud investigations, including those arising from the internal ethics hotline.
- Managed 30 FTE's in Chicago, Buffalo and New York City

Senior VP, Anti-Money Laundering (AML) and Audit Operations 2012 – 2013

- Team Leader for AML, sanctions and Bank Secrecy Act (BSA) audits assessed the quality and effectiveness of the institution's BSA/AML compliance program.
- Managed 15 FTE's in Chicago and Buffalo.

Senior VP, Head of Professional Practices 2008 – 2011

- Led the internal audit quality assurance program and global audit methodology.
- Upon joining, led a high-profile internal investigation, resulting in enhanced employee benefit accounting controls.
- Increased the usage of data analytics by 30%.
- Revamped Audit Committee reporting using graphs vs. text for increased transparency.
- Reduced costs by 25% while maintaining audit coverage with a \$24M budget.
- Managed 10 FTE's in Chicago and Buffalo.

PricewaterhouseCoopers LLP, Chicago, IL 2004 – 2007

Director, Internal Audit Services

- Business development and service delivery for internal audit co-sourcing, risk and compliance, SOX 404 and market assessment for new products.
- Managed up to 25 FTE's per engagement.

ABN AMRO North America, Inc., Chicago, IL, V.P., Group Audit 2001 – 2004

GE Capital, Barrington IL, Audit Director 2000 – 2001

MidCity Financial Corp, Chicago, IL, Internal Auditor, IT Manager, Trainer 1993 – 2000

First Interstate Bank, N.A, Denver, CO, Internal Auditor 1992 – 1993

Wilmington Trust Co/Meridian Bancorp, Wilmington, DE Internal Auditor 1989 – 1992

First Delaware/CIGNA Corp Reinsurance, Wilmington, DE Reinsurance Acct 1987 – 1989

EDUCATION and CERTIFICATIONS

University of Delaware, Newark, DE M.B.A., Finance 1992

University of Delaware, Newark, DE B.S., Business Administration, Int'l Business 1987

Certified Public Accountant, State of Illinois 2001

GE Six Sigma Green Belt 2000

Certified Internal Auditor 1995

Certified Trust Auditor 1992

BOARD ROLES and PROFESSIONAL ORGANIZATIONS

Chicago Innovation-Women's Mentoring CO-OP member. 2021

Loyola University Chicago-Center for Risk Management Advisory Board Member. 2020

Polsky Center University of Chicago-Business mentor for startup and growth companies. 2020

Financial Executive International-Diversity and Inclusion Committee Member-Chicago Chapter. 2020

Tax Assistance Program-Volunteer tax preparer supporting financial health of clients. 2005 - 2007

Women Employed-Board member and seminar leader. 1995 - 2001