

KATI GEORGE, CIA

Annapolis, MD 21403

lakeway99@hotmail.com

Mobile: 214.226.0813

SUMMARY OF QUALIFICATIONS

- A versatile, client-focused audit consulting and project management professional highly skilled in all aspects of enterprise-wide Governance, Risk and Compliance, Sarbanes-Oxley (SOX), and Process Improvement for corporate and governmental clients.
- Emphasis is on building teams demonstrating ethical behavior, commitment to excellence, landscape awareness and technical expertise. Leads and supports audits in IT, financial, compliance, and operational areas across all business functions. Specialties include risk assessment, process documentation, technical writing, testing, remediation, liaison with external auditors, and personal presentations; also experienced in fraud investigations, policy development, process improvement and leadership in change management. Highly collaborative and successful in international engagements and across cultures.
- A collaborative leader, strategically recruiting, building and supporting small (2) to large (40+) person teams in audits across multiple locations, including international sites. High energy team builder across multiple geographies, serving as coach and mentor, guiding teams to deliver projects that add value and yield high levels of customer/client satisfaction.
- A strong oral and written communicator, with high level interpersonal and analytical skills, accomplished in creative problem solving and decision-making ability. Influencer for continuous process improvement and suggested solutions for resolving corporate challenges, Expertise in IIA professional standards, GAAS, GAAP, COSO2, SOC2, COBIT, FCPA, Microsoft Office suite.

PROFESSIONAL EXPERIENCE

KMG Solutions; Principal

2009 to present

Senior-level consulting executive driving high performance in Internal Audit Management, Sarbanes-Oxley, Project Management, General and Application IT controls, ERM, forensic accounting, anti-fraud assessment and prevention, policy and procedures development. Collaborate with corporate executive teams to minimize testing exceptions and continuously enhance control environment and performance/profitability. Develop and promote effective client relationships. Demonstrate exceptional audit leadership across a variety of industry segments and engagements:

FINANCIAL SERVICES

01/2019 to 04/2019 – Hillview Holdings, Dallas, Texas – privately held property management firm

- Develop top-down controls assessment for 75 unit mobile home community. Analyze all key general ledger accounts and identify anomalies for further research. Develop new robust system for timely collection of rents and fees. Identify energy billing errors/over charges.

07/2009 to 02/2017- Central Texas Farm Credit ACA, Brownwood, TX – provides financing and services for loan portfolio of \$490 million for corporate and individual agricultural businesses and real estate

- Develop and assess SOX and IT internal controls, and operational efficiencies, through risk based audit plans including audit scoping, and procedure development Guide internal team to complete combined Sarbanes-Oxley and Internal Audit review with Testing of higher risk areas in accordance with IIA standards. Perform Walkthroughs thru Reporting for eight consecutive years with one or less annual Exceptions. Provide recommendations for continuing process improvement across financial and IT business segments. Present written reports to Board of Directors and regulators. Develop metrics and report periodically regarding risk and audit effectiveness. Ensure compliance with all Federal regulations. Liaise with PWC to coordinate external audit oversight and ensure conformance with reporting requirements and results.

01/2016 to 04/2016 – Chronos Solutions, Coppel, TX – provides mortgage advisory and consulting services; title and settlement services; valuations; REO management/disposition; and accelerated marketing and field services.

- Develop Audit Charter, Operations Manual, and sample Testing Program for newly formed Internal Audit Department. Create templates for performance measurement, vendor management, exception tracking and reporting, compliance management.

06/2014 to 09/2014 – Fannie Mae, Dallas, TX – oversight and compliance services for government backed home mortgages

- Serve as governance analyst and subject matter expert for six department groups of Credit and Underwriting, partnering with management to provide appropriate controls, testing, process improvement. Revise method for updating Call Lists for business continuity planning, resulting in \$5000 monthly cost savings. Serve as SME for Audit practices and standards.

05/2010 to 12/2013 - Texas Land Bank, Waco, TX – provides financing and services for loan portfolio of \$530 million for corporate and individual agricultural businesses and real estate (acquired by Lone Star Ag Credit in December, 2013)

- Develop and assess SOX and internal controls, operational efficiencies, and risk based audit plans. Perform complete Sarbanes-Oxley review and issue written Reports. Schedule and oversee the work of audit teams to ensure it is completed on time and in keeping with professional standards. Perform full-scope annual Internal Audit based on risk ranked Processes enterprise wide with emphasis on IT risks and Business Resiliency. Develop Audit Plans, Testing Programs, conduct Testing

and develop Recommendations for remediation. Issue written Reports to Audit Committee and Board of Directors. Partner with CEO and senior management to resolve ongoing personnel and operational challenges.

INFORMATION TECHNOLOGY

06/2015 to 08/2015 – GM Financial Services, Arlington, TX – financial services for GM dealerships in North America

- Assist Director of IT Audit in developing Test plan and Test procedures for 2015 SOX compliance program. Conduct Narrative walk-throughs in coordination with Deloitte with all IT Process Owners. Develop testing template and format to use for all IT Controls consistent with GM Testing Guidance. Develop and distribute first of 11 document requests.

10/2014 to 11/2014 – Citi Group, Irving, TX - financial regulation for Credit Card services in Americas

- Assist IT Audit Manager in designing and testing of SOX IT General and Application Controls for numerous automated systems. Partner with operations process owners to ensure timely compliance and remediation.

01/2012 to 03/2012 – Farm Credit Bank of Texas, Austin, TX - \$14 billion wholesale bank providing funding & services to 17 rural lending institutions.

- Develop implementation Guide for IT essential practices (general and application controls) as required by Federal Farm Credit. Prepare extensive User Narrative to accompany implementation matrix. Develop implementation matrix for use by all district Associations to optimize IT utilization. Create Training outline. Partner with individual Associations to prioritize/enhance SOX IT controls. Provide consultative advice to business and IT management on current and emerging Information & Technology risk relative to Business Resiliency controls and governance matters.

03/1999 to 02/2001 – IBM/Tivoli, Austin, Texas – world-wide hardware and software provider

- Provide budget analysis for manufacturing segments and identify opportunities for cost savings./Lead year- long assessment for all business processes across world-wide sales operations recommending process and control improvements.

OTHER

06/2009 to 02/2010 - City of Garland, Texas – municipal government with budget of \$100 million in the DFW

- Conduct enterprise-wide risk assessment with system-wide testing/recommendations for improvement/remediation presented to Mayor and Council. Develop Narratives and Control Matrices for twenty-two (22) key process areas city-wide used for training of staff.

- *09/2008 to 12/2008 - City of Irving, Texas – municipal government with budget of \$183 million in the DFW*
 - Provide Audit Director/Manager services, developing and presenting mandatory Ethics and anti-Fraud training used city-wide. Discover \$100K in unreported assets. Identify security weaknesses for Cash collection locations. Identify numerous weaknesses relating to federal compliance.

11/2006 to 06/2008 - Bridgepoint Consulting, LLC, Austin, TX - professional services and consulting firm

- Director of Audit Services and assist with business development in new territory, preparing project proposals to reach new clients

07/2006 to 11/2006 - Baker-Hughes INTEQ, Houston, TX – international oil gas products/services for drilling

- Serve as SOX Team lead and technical resource. Prepare all process documentation, design and conduct Testing for Accounting processes, including A/P, Fixed Assets, Payroll, Cash, A/R, Reserves, and Taxes for sites in Mumbai, Singapore and Calgary.

01/2004 to 12/2004 - TXU (ONCOR) Gas, Dallas, TX – regional natural gas distributor/retailer

- Project Manager for SOX 404 compliance engagement. Document processes, develop positive working relationships with process owners to obtain buy-in, develop testing logic, testing methodology, and assist clients with testing internal controls across operational, accounting and IT areas. Serve as senior technical resource, and SME.

03/1997 to 12/1999 – Texas Workforce Commission, Austin Texas –state regulation of federally funded workforce programs

- Develop and deliver a comprehensive statewide audit compliance program, as Director of Field Operations, for newly created for-profit workforce centers. Recruit, lead and mentor teams resulting in improvements to service levels and accountability for twenty-four workforce centers across the State. Conduct performance evaluations and coaching/mentoring for teams of up to 20 staff.

EDUCATION & CERTIFICATION

The University of Texas at Austin, Austin, Texas

Bachelor of Arts

Pursued MBA in Finance – 23 hrs.

Certified Internal Auditor (CIA)