

# Resume of Richard Battino

## Senior Manager, WSR Consulting Group, LLC

Senior executive skilled in process and technology consulting, risk management, internal audit, with industry experience in financial services (insurance, banking, and brokerage), health care/pharmaceuticals, technology, NGO and transportation companies. Mr. Battino has broad experience helping companies (ranging in size from \$80 million to over \$30 billion) address strategic, tactical, auditing, compliance and technology-related business needs, and he has managed \$10 million project portfolios. He has also used his expertise in information systems project management and quality control during numerous litigation support engagements.

### Areas of Expertise

- Risk management, business continuity and disaster recovery planning
- SAS70 General and IT Controls Reviews
- Corporate IT Governance
- Business Requirements Analysis
- Litigation Support, Expert Reports, Testimony
- Forensic Accounting
- Process and Data Mapping
- Business Process Transformation
- Financial and Operations Software
- Sarbanes-Oxley Compliance and IT
- Audit Program/Project Management (full SDLC lifecycle)
- Software Package Selection
- Software Package and SaaS Implementation
- Consulting Practice Management
- ERP Implementation, ERP Reviews (*incl.: Workday (HCM), NetSuite (ERP), Lawson (ERP), Infor (ERP), PeopleSoft (ERP), Microsoft Dynamics (ERP), Salesforce.com (CRM), Oracle (Financial Accounting, ERP), Informatica (big data), Success Factors (HCM for Cloud)*)

### Relevant Litigation Support and Forensic Accounting Experience

- Subject Matter Expert supporting litigators trying to recover consultant fees for a failed **Lawson** implementation at a jewelry manufacturing company. Case settled with recovery of substantial percentage of original fees paid.
- Worked as part of a forensic accounting team on behalf of the NY District Attorney's office during the DA's investigation of a Union Health, Welfare and General Operating Funds' Third-Party Administrator. The team reconstructed the money trail related to the multi-million-dollar embezzlement perpetrated on union pension and welfare funds. Based on evidence discovered, defendant pled guilty and, in addition to restoration, served considerable jail time.
- For a software firm, engaged by plaintiff's attorneys as a consultant, expert witness and strategist in a matter related to the misappropriation of trade secrets and copyrighted material (client's software) following defendant's aborted attempt to purchase the company. Provided written material used in response to interrogatories, developed the framework for expert's report, prepared critical sections of the expert's report, gave oral testimony; and assistance during deposition of opposing expert.
- Designed and prepared a financial model to support plaintiff's request for damages in a class action suit brought against a public utility. The financial model of the utility's future cash flows illustrated the defendant's ability to pay damages.
- For a prominent restaurant group, identified millions of dollars of fraudulent disbursements made by the CFO, and helped construct a case against the executive. Ultimately, the CFO agreed to a settlement with company that called for restitution of all stolen funds.
- For the State of New Jersey, designed disbursement audit algorithms, developed computer programs and performed automated audit of computerized Medicaid disbursements that uncovered patterns of over-billings by health care providers.

### Information Technology Success

- For a half-billion-dollar charitable organization that provides relief and resettlement to refugees and that is growing rapidly due to current refugee crises around the world, defined ERP requirements for financial accounting, award accounting and significant feeder systems requiring replacement as part of an overall restructuring of organization's IT department. Also, as part of the overall system planning effort, scoped and developed project estimates for implementation of cloud-based solutions over the next five years. The Board of Directors approved our and authorized \$14 million for system acquisition and implementation over the five year planning horizon.
- For a large public international temporary staffing corporation, conducted a thorough risk assessment of all key internal processes and systems, and based on that analysis prepared a Business Technology Plan for addressing key business issues. The plan, which Mr. Battino presented to the Senior Management Team (CEO, COO and CFO), outlined the projects and resources needed to improve the effectiveness of the Sales, Operations and Finance Departments.
- For a leading, global technology SAAS provider of beyond the firewall collaboration solutions, as part of the internal Senior IT Team, managed a group of business analysts and developers in the implementation of new Market-to-Cash, Human Capital Management and ERP systems. As part of that effort my significant contributions included developing new IT policies and Governance procedures, and business and technical specifications (including data cleansing and mapping for systems integration) related to incentive compensation,

revenue accounting and management reporting. Mr. Battino also mentored twelve direct reports in the preparation of requirements documentation and requirements traceability matrices (RTM) to ensure compliance with Data Management policies.

- For one of the largest Retirement Services providers in the United States, managed the Program Office of a \$40 million project through a mid-project transformation and project rescue and turnaround. The restructuring included setting standards for, organizing, and managing a Center of Excellence for application development and a Quality Assurance function to facilitate User Acceptance and Performance Testing. The restructuring saved the client millions of dollars on an annual basis.
- For a New England provider of personal insurance lines, documented requirements, architected, and managed the development, user acceptance testing and implementation of data warehouse and data marts for managing and reporting on customer relationships. This allowed the client to increase the cost-effectiveness of their marketing and sales efforts.
- For multiple divisions of one of the world's largest entertainment and media and companies, documented critical internal processes and developed business impact analysis, capacity, contingency plans and record retention plans to facilitate continuous availability of data processing services. During this engagement Mr. Battino worked with Senior Vice Presidents to identify, assess, and, where possible, mitigate the risks associated with the critical processes of the business. This allowed the client to implement and ensure the effectiveness of disaster recovery plans for movies under development and for related product distribution.

## Business Performance Improvement in Complex Environments

- For a top-ten insurance company, led a team of thirty consulting and client personnel engaged in planning the \$5 million redevelopment of policy administrative and customer contact and support systems, and re-engineering of related business processes. Mr. Battino also prepared business requirements documents for claims processing. The solution allowed the company to process four times as many transactions with the same workforce, saving \$4 million annually.
- For the International Division of a top ten life and annuity provider, documented requirements and identified and prototyped software for policy administrative and claims processing for the division's 22 overseas locations.
- For a \$2 billion entertainment company, managed a program office and led a team of forty project personnel engaged in the planning, remediation, hardware and application software testing and Y2K certification of software, hardware and production equipment.
- For Fortune 1000 companies, including consumer and industrial product manufacturers and distributors, defense contractors, financial institutions, and engineering and construction firms, performed application reviews of custom-developed applications as well as packaged software implementations (e.g., PeopleSoft ERP financial software, Siebel ERP CRM software, Oracle ERP financial applications, and JD Edwards ERP accounting applications).
- For the leasing division of one of the country's largest commercial banks managed a project to review and reengineer the internal systems and accounting controls that resulted in a reduction in the risk inherent in their current systems and procedures. Our work also allowed the division to significantly increase its portfolio with the same headcount.
- For one of the largest brokerage and investment houses in the world, led a team of six project management experts who conducted in-flight project reviews of domestic and international trading operations.
- For one of the largest domestic providers of health insurance benefits, conducted an audit of one of the company's regional claims processing operations, and planned and audited regional enrollment and billing operations. Our recommended enhancements to existing processes resulted in significant improvements in worker productivity and reduced claims processing time and error rates.

## Corporate and Information Technology Governance

- Prepared an enterprise risk management plan for a top-tier public investment management firm that focused on economic, environmental, competitive, regulatory, operational (including IT) and process-specific risks. Based on the plan, identified significant areas for further evaluation and/or short-term risk mitigation activities, and outlined internal audit work plans for follow-on audit projects. Mr. Battino's team presented the plan to the principal owners and to members of the Audit Committee, and executed internal audit projects over the next two years as outlined in the plan.
- Successfully completed more than fifty Sarbanes-Oxley assignments, which involved: determination of audit scope, analysis and documentation of current processes and systems, identification of control deficiencies, preparation of business specifications for process and system remediation, and preparation and execution of test plans. Clients included financial services, pharmaceutical manufacturing and distribution, software development, advertising, and manufacturing public entities. Mr. Battino personally managed a portfolio of projects with fees exceeding \$4 million dollars per year.
- For Fortune 100 companies engaged in loan application processing and servicing, brokerage and securities movement, video production and distribution, beverage distribution, rental car reservations, and telemarketing (call center), prepared business interruption impact analyses and developed business continuity and disaster recovery strategies and plans.

## Work History

<b>WSR Consulting Group, LLC</b>	On a project-by-project basis from 1989 - present
Senior Manager	
<b>Corporate Resource Services, Inc.,</b>	2014 - 2015
VP - Finance, Processes, Systems and Compliance	
<b>Intralinks, Inc.</b>	2011 - 2014
Director, Applications Development	
<b>R. Battino &amp; Associates</b>	2001 - 2011
Managing Director	
<b>David Landau and Associates, LLC</b>	2005 - 2008
Managing Director, Compliance Consulting	
<b>KPMG Consulting Inc.</b>	1997 - 2001
Senior Manager, Financial Services	
<b>Contingency Planning Research, Inc.</b>	1995 - 1997
Senior Project Manager	
<b>Anchin, Block &amp; Anchin LLP</b>	1990 - 1994
Director, Management Consulting	
<b>Laventhol &amp; Horwath</b>	1985 - 1989
Manager, Large Systems Consulting	
<b>Peat Marwick Mitchell</b>	1982 - 1985
Manager, Systems Development	

## Systems Expertise

Workday (HCM), NetSuite (ERP), Lawson (ERP), Infor (ERP), PeopleSoft (ERP), JD Edwards (ERP), Microsoft Dynamics (ERP), Salesforce.com (CRM), Oracle (Financial accounting suite, ERP), Vericent (Sales Performance Management), Informatica (big data), Success Factors (HCM for Cloud), Cornerstone (Learning Management System, SaaS)

## Education

- The Cooper Union for the Advancement of Science and Art, Bachelor of Chemical Engineering
- Company-sponsored training in project management, system design and development, personnel management, motivation and mentoring, cloud computing, Workday, Zuora, SFDC (SalesForce.com)