

Name: Nicholas R Hughes
Current Position: KPMG Japan, Director of Information Security, Risk Management Department
Language: Native English, Japanese Business Functional
Nationality: British
Japan Visa Status: Permanent Resident
Email: Nickrh21@hotmail.com
Phone: 090-7737-0078

Summary of Primary Roles and Experience:

- Governance, Risk, Compliance: Expertise in evaluating the risks associated with technology processes and operations, identifying, and improving key controls to manage risk, benefits and create business value.
- Technology Lead Auditor: Experience with auditing Infrastructure, Software, Third Party, Information Security, IT Operations, and various other Audit Entities.
- Project Management: Project Manager in charge of various Technology Projects, Infrastructure, Software Development, System and Data Migrations etc.
- Data Governance Officer: Customized the Global Data Management Program so it could be implemented in Japan for the Consumer Banking and Credit Card Business.
- Service orientated, bilingual problem solver, with twenty plus years of experience in IT. I am focused on providing the best possible outcomes for the client while building trusted relationships with local and global teams.

Specialties:

- Technology Compliance and Risk Management
- Technology Lead Auditor
- Enterprise Data Governance and Data Management
- Program and Project Management.
- Service Operations, Design, and Integration Management.
- Business and Technology process analysis and improvement.

Certifications:

- ISACA Certified in Risk and Information Systems Control (CRISC) 2021
- ISACA COBIT 2019 Foundation. 2020
- ISACA Cybersecurity Audit Certificate. 2020
- Cloud Security Alliance, Certificate of Cloud Security Knowledge (CCSK). 2019
- ISACA CSX Cyber Security Foundation Certificate. 2018
- CompTIA Cloud+. 2017
- ISACA Certified Information Security Management (CISM). 2016
- ISACA COBIT 5 Foundation. 2015
- ISACA Certified Information Systems Auditor (CISA). 2014
- eLearning Curve Certified Information Management Professional in Data Governance. 2013
- ITIL V3 Intermediate Service Strategy. 2013
- ITIL V3 Foundation. 2012
- PMI Project Manager Professional. 2012
- Japanese Language Proficiency Test Level 2. 2011
- Cisco Certified Network Associate. 2006

- Microsoft Certified System Engineer Win2000. 2001
- Microsoft Certified System Engineer NT 4. 1998

Professional Experience:

KPMG AZSA LLC: Information Security, Risk Management Department. Title: Director

From: 2018 -June, To: The present

Role/Responsibilities:

- Responsible for delivering Japan Technology Audits including the Action Plans to address any Audit control deficiencies.
- Design and implement corrective action plans for compliance and control issues for example, Cloud Security and Entitlement Review.
- Design, implement and manage new or improved controls on Information Technology processes for example SDLC , Configuration Management and Third-Party Management.
- Responsible for implementing new or updated Global Policies and procedures in Japan, including gap analysis and risk assessments of existing processes and systems.

Achievements:

- Closed multiple historical audit issues and control deficiencies some dating from before 2017.
- Successfully established Firm wide controls for Third-Party Risk Management, Configuration Management, User Access Entitlement review and Ransomware etc.
- Designed and implemented new tools to improve the compliance function using SharePoint, MS-SQL Databases, Power-Automate to track, manage, and report on the status of the control environment.

Citi Japan Holdings: Internal Audit Manager Technology Title: Vice President

From: 2015 -February, To: 2018 -May

Role/Responsibilities:

- Lead Japan auditor for Technology Infrastructure, Divested Business Service, Project Management, Information Security, Business Continuity and Building Management and Security
- Worked with various Global and Regional teams to on audits such as Data Center migrations, Information Security, Divestitures, Change Management, Configuration Management and Service delivery.
- Responsible for Quarterly Risk Assessments and the follow-up of audit issues review, validation, and closure.

Achievements:

- Lead Auditor on various Technology Audits including Data Center Audits
- Assessed and reviewed corrective action plans submitted by the business related to regulatory findings and business improvement orders.
- Participated in Global, Regional and Japan local audits including business monitoring and risk assessments.

Professional Experience:

Citi Japan Limited Retail Bank: Data Governance officer. Title: Vice President

From: 2012 -December, To: 2015 -January

Role/Responsibilities:

- Worked as the first Citibank Japan Data Governance Officer, which involved designing and documenting local processes, guidelines, and tools aligned with the Enterprise Data Management Policy.

- Acted as the primary contact between the Global Data Management Program and the Japan consumer business.
- Worked with business units and technology teams, on the resolution of Data issues including data cleanup, conversion, and migration.

Achievements:

- Worked with the business teams to identify 64 Critical Data Elements used in business processes such as finance and compliance.
- Achieved the Global target of a 50% Data Quality Management Maturity score for the Japan Data Governance Office, the first country to do so.
- Implemented a local Data Issue Management process and integrated it with the Global issue management system.

CitiServices Japan: Project Manager. Title: Vice President

From: 2010 -December, To: December 2012

Role/Responsibilities:

- Worked as a Project Manager on Citi's Digital Transformation program in Japan. As part of the program, I was responsible for migrating the Consumer businesses' Data Warehouse and Business Intelligence systems and also managed the Software and Hardware upgrade of the Call Center front and back-office systems.

Achievements:

- Implemented a new Data Warehouse and SAS 9.2 BI infrastructure, including the conversion of Legacy data and its migration from Japan to Singapore.
- Worked with Vendors and the Risk department to migrate business critical MIS reports and associated SAS scripts to the new BI infrastructure and to leverage the new Business Objects applications.
- Replaced the Voice infrastructure, Servers, PBX, IVR etc. used by the Cards and Retail banking business a project involving multiple local Japan and Regional Technology teams.

CitiServices Japan: Integration and Applied Engineering. Title: Assistant Vice President

From: May 2007, To: June 2010

Role/Responsibilities:

- As the Technical Team Leader, I was responsible for coordinating with the businesses, local and Global technology teams, and vendors to deliver solutions to meet the project objectives.
- Responsible for ensuring that all systems delivered were compliant with Citi and Information security policies.
- Designed, built, and tested Infrastructure and application systems to meet the project requirements and the firm's global Technology standards.
-

Achievements:

- Helped to relocate multiple systems and servers as part of Data Center Migrations and consolidation projects in Japan.
- Worked with the Information Security, Operations and Configuration management teams to revise the Integration team's System Quality Control Process to ensure compliance to Citi Corporate Security and Configuration standards

CitiServices Japan: Manager UNIX Server Operations Application Support.

From: January 2006, To: May 2007

Role/Responsibilities:

- Managed a team of 14 System Administrators to support the BAU Operations of approximately 350 Unix Servers hosting a variety of Business applications including Database, Bank Transaction, and Middleware systems such as IBM MQ, and Connect Direct.
- Designed and executed plans to remediate multiple audit findings and compliance issues found as during Internal Audits and Risk Self-Assessment process.

Achievements:

- Closed all Risk Assessment and compliance related items and gained a rating of “satisfactory and effective” from the Internal Auditors.
- Standardized and documented the team processes and procedures to align with Corporate IT policy and Japan specific requirements, including service continuity and redundancy.

CitiServices Japan: Manager Windows Server Operations Application Support

From: October 2003, To: January 2006

Role/Responsibilities:

- Managed a team of 7 System administrators to support the BAU operations of approximately 200 Windows servers hosting various business applications, used by Citi Finance Japan.
- Responsible for meeting business requirements for Business Continuity and Disaster recovery, monitoring, and alerts and for ensuring that all systems met corporate security and compliance standards.
- Worked with the Business and project management teams and Vendors to design and build new systems that met the business’s requirements.

Achievements:

- Designed, built, and managed the Mainframe Host Integration infrastructure that supported the migration of 350 branches with 3000 users into the CITI corporate Network.
- Designed, built, and supported the infrastructure for approximately 400 Automated Loan Machines systems, in addition to ongoing upgrades and application development.
- Worked with the Network team to rationalize and consolidate the numerous routes used to connect to the Vendor hosted Mainframe and achieved a cost save of approximately \$250,000 USD in annual running costs.

MISYS International: IT Systems Administrator

From: June 2002, To: October 2003

Role/Responsibilities:

- Supported all IT requirements of approximately 50 users in the Bank and Trading Software development businesses in Japan.
- Single point of contact for coordinating with the Asia Pacific Regional and Global IT management and numerous local Vendors.
- Managed BAU operations and projects related to networking, servers Windows, and Unix OS, workstations, messaging, firewalls, and applications.

Achievements:

- Migrated the Japan Office to Windows 2000 from NT4.
- Upgraded the company network to 100 Base T and implemented new Firewalls and VPN connections to the Regional and UK head offices to improve messaging, file transfer and redundancy.
- Implemented improved backup, antivirus, and uninterruptable power supply systems.

Aspire-4: Technical Support Engineer**From: October 2001, To: June 2002***Role/Responsibilities:*

- On site, System Engineer supporting multiple small business's BAU operations and end users, workstations, networks, and servers including Database and messaging services.
- Plan and implement system upgrades.

Achievements:

- Upgraded eight companies, with user numbers ranging from four to 15 to Windows 2000 Active Directory, including Exchange 2000 messaging implementations.
- Installed and configured Anti-Virus and Firewall solutions for four companies and remediated security issues at the client offices.

Systems Go: Technical Support Engineer**From: August 2000, To: October 2001***Role/Responsibilities*

- On site System, support Engineer for a various client, ranging from small businesses to the Japan branch offices of major manufacturing companies and legal firms.

Achievements:

- Built all the Infrastructure for a new branch office of a major Aluminum producer in Niigata Prefecture including Servers, PC, printers, and network.
- Supported multiple different clients with various different technology requirements.

NSE English School: Owner Operator**From: 1995, To: 2000***Role/Responsibilities*

- Owner operator of an English conversation school and SOHO IT support company specializing in setting up PCs, network and internet connections including home page web design and support.

Achievements:

- Created and maintained an intranet site for 100 plus English students at the Fujitsu main office in Nagano. The site was used to inform students of class work and practice their English with online scripts.

Diane's English School: Teacher**From: 1991, To: 1995****Shane English School: Teacher****From: 1990, To: 1991****Education**

Lancaster University, U.K.
BA in History (Graduated 1989)

References

References are available at request.