

# THOMAS A. SMYTH

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## FINANCIAL ANALYST

*Technology ~ Health Care ~ Education ~ Financial Services ~ Entertainment ~ Energy ~ Insurance ~ Government ~ Defense*

An intelligent, proactive and action-orientated Senior Accounting, Investment and Compliance Professional with a MS in Finance and 11 years of diverse experience in the Finance/Investment industry. Well equipped for International Business as an American citizen who is also fluent in Spanish and French. Known for exceptional people skills, versatility and ability to liaise with CFOs/Controllers, Senior Managers, regulatory personnel and key clients. Able to utilize Microsoft SQL queries and reports to pinpoint vital data, identify opportunities and solutions. **Currently a CPA candidate** with a history of serious contributions to the bottom line by improving client satisfaction, retention, revenues, efficiency, and creating savings, while insuring compliance to Federal and State regulatory agencies.

## CORE STRENGTHS

- Financial Accounting
- Financial Service Operations
- SOX, FINRA & SEC Compliance
- Resolving Financial Discrepancies
- Proactive Client Service
- Microsoft® Office 2007
- Microsoft® Access & SQL
- Expense Accrual Analysis
- Sungard InvesTier & Invest One
- GAAP and IFRF/Investment Accounting
- Budget Forecasting and Improving Efficiency
- General Ledger and QuickBooks Pro
- Complex Problem Solving
- Leveraging Technology/Automation
- Advanced Excel User/Macros
- Queries and Scripts/Pivot Tables
- Hyperion Essbase/Data Migration
- Oracle 11i & SAP Accounting
- Financial Modeling
- Financial Statements
- Financial Analysis
- Interpersonal Skills
- Financial & Tax Consulting
- V-Lookup Formulas
- Advent Geneva 6.03
- IRS Tax Code Expert
- Bloomberg

## NOTEWORTHY ACHIEVEMENTS

- ▷ Supervisor stated on 2003 GlobeOp Financial Services Performance Review, "*Tom's outstanding work in complex financial analysis, customer service, automating reports, auditing and compliance was the major reason why client Man Investments (a global alternative investment firm) increased their business from five funds and \$285 million in 2002 to 15 funds and \$2.8 billion in 2003. The client credited Tom with initiating this remarkable gain citing they were very pleased with his performance on very challenging assignments.*"
- ▷ Manager stated, "*Client Man Investment Group continued to credit Tom's expert financial analysis as the main reason why they continued to send us new business. This past year they increased their funds under our management from 15 funds and \$2.8 billion to 21 funds and \$3.6 billion. Tom was clearly the catalyst, as he was repeatedly credited with exceeding their expectations. His overall annual performance marks are among the highest I have ever given out...*" on 2004 performance review.
- ▷ **Saved Zurich Financial Services at least \$20,000 annually** in payroll by developing an Excel spreadsheet and Macros solution to automate the process of identifying monthly variances on the balance sheets of 1000 derivative products. Previously, this required a week's worth of labor from a Senior Staff Accountant each month.
- ▷ Earned very close to the highest performance rating possible from supervisors for the three previous years on annual performance reviews averaging 4.74 out of 5 for "exceeds expectations."
- ▷ **Streamlined and optimized an entire financial system** in 2008 for Thomas Lloyd Global Asset Management as a Senior Staff Accountant. Migrated all data and reporting to QuickBooks Pro from outdated Excel software. **Improved overall departmental efficiency by 75% and SEC compliance by 50% easily saving at least \$25,000 in labor annually.**
- ▷ Inherited a department with a high error rate, missed deadlines and difficulty maintaining compliance at Citigroup in 2005, rewrote all the valuation procedures to determine NAV, developed checklists and new standard operating procedures. **Results, reduced error rates dramatically, met deadlines for all clients and improved overall efficiency by 44%.**
- ▷ Discovered that one VIP commercial client was being overcharged on performance fees every quarter, as our accounting system was not generating the proper result. Researched 12 months back to reconcile the previous year's account statements and identify the true root cause. **Results, this saved the client \$100,000 per year and more importantly preserved the relationship at risk worth millions annually to Citigroup.** Halted this from affecting other clients.
- ▷ **Achieved 100% compliance on annual SEC audits for 2006 and 2007** for Thomas Lloyd GAM.

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- ▷ **Achieved 100% Compliance without any exceptions** on a 90-day SOX audit of the Sun Life Annuity Department by FINRA in 2009.

### PROFESSIONAL EXPERIENCE

ZURICH FINANCIAL SERVICES, Milton, FL 11/10 – Present  
**Financial Reporting & Operations Analyst** (Temporary Contract through Robert Half Finance and Accounting Services Inc.)  
*Assigned to prepare complex account reconciliations between Hyperion Essbase and Lawson General Ledger as part of year-end and quarter-end financial, management and regulatory reporting for derivative investment products.*

- ▷ Designed, tested and implemented Excel spreadsheet application to automate monthly reports using V-lookup and H-lookup functions.
- ▷ Examined and posted complex and specialized accounting adjustments to the general ledger for cash flows and terminations of term loans and hedging activity as part of year-end reporting for derivative portfolio in accordance with ASC 815 (FAS 133) and ASC 320 (FAS 115).

SUN LIFE FINANCIAL, Tampa, FL 9/09 – 10/10  
**Senior Accountant** (Temporary Contract through Ajilon Financial)  
*Charged with maintaining the integrity of the general ledger by reviewing journal entries, examining account reconciliations for over 500 accounts monthly, account analysis and issue resolution.*

- ▷ Reconciled static financial data across multiple reports from Oracle general ledger module and evaluated data versus specific parameters; developed supporting documentation that detailed compliance efforts within established SOX 404 guidelines.
- ▷ Analyzed SOX 404 due diligence and SAS 70 compliance to resolve data anomaly issues, P&L analysis, balance sheet reconciliation, journal entries and general ledger maintenance.

Thomas Lloyd Global Asset Management, Pleasantville, NY 5/07 – 6/09  
**Senior Staff Accountant**  
*Oversaw daily and month-end financial reporting for the American subsidiary of a Zurich based multimillion dollar global asset management and offshore registered investment advisory firm.*

- ▷ Created monthly net asset value estimates for underlying investments for Fund of Funds Portfolio and compared variances in NAV estimates with actual performance figures for late reporting funds.
- ▷ Reviewed and reconciled Net Asset Value and month-end financial work produced by third-party administrator in order to calculate correct performance based fees and partner capital allocation.
- ▷ Completed/audited investor subscription documents to guarantee compliance with Anti-Money Laundering regulations and tracked existing investor subscription and redemption payments.

Citigroup Alternative Investments, New York, NY 3/05 – 5/07  
**Senior Associate**

- ▷ *Originally hired as an Associate and promoted after ten months on the job to Senior Associate*; selected by management to serve as the go-to resource to resolve trade related and accounting issues for Portfolio Managers, executing brokers and outside accountants.
- ▷ Managed General Ledger close processes and procedures for client portfolios in the Managed Hedge Fund and Fund of Funds segments; examined finalized month-end valuation packages for accuracy.
- ▷ Maintained treasury oversight responsibilities for client portfolios, including coordinating capital calls and distribution payments for Private Equity funds; prepared quarterly and year-end financial statements including disclosures, highlights and footnotes.

GlobeOP Financial Services, Harrison, New York 12/01 – 3/05  
**Fund Accountant**

- ▷ Selected by management to take charge of the Man Investments account, a well-known global alternative investment firm and highly valued client; audited differences in market values, trade positions and dividend.
- ▷ Performed month-end accounting functions for complex financial products, including balance sheet reconciliation, price variance reporting and expense accrual analysis; handled financial reporting and analysis of NAV in the Hedge Fund Administration dept.

### EDUCATION AND PROFESSIONAL DEVELOPMENT

**Master of Science in Finance**, Bryant College, Smithfield, Rhode Island 12/05  
**Bachelor of Arts in Accounting and Economics**, Brown University, Providence, Rhode Island 12/01

- ♣ **Currently in process of obtaining CPA designation in FL; estimated completion date June 2010.**
- ♣ **Multilingual – Native Fluency in American English, also speak, read and write Spanish and French fluently.**
- ♣ Willing and able to travel or telecommute as needed to achieve business objectives
- ♣ Willing and able to relocate for the right long-term opportunity.