

# NEAL HORNSBY

## PROFILE SUMMARY

Neal Hornsby is an MBA with more than twenty five years experience in financial services in senior leadership and project management roles. Neal has worked across all types of financial services business in both public and private sectors in Australia, Singapore, the United States and New Zealand and has been called in to rescue various projects which have either moved off the rails or been classified as failed and in particular where regulators have had involvement. He holds an MBA, a Graduate Diploma in IT, a Diploma in Financial Services (Financial Planning) and is a PRINCE II certified project manager.

## PROFESSIONAL SUMMARY

Neal's chosen field is Financial Services with special attention on the optimisation of business process, risk management and reporting through the use of policy, process and, where applicable, systems within the regulatory environments.

He has held senior roles as CEO (Life), General Manager (Distribution and Lending), Executive Manager – Governance and Policy (CBA), Senior Underwriter (General), Head of Business Technology (conglomerate) and Head of Risk and Compliance (conglomerates).

Since 2004 Neal has provided a specialist consulting, locum and project management service in both public and private sectors including running the first ever banking Crisis Simulation Exercise (CSE) for the Council of Financial Regulators (CoFR = Federal Treasury, RBA, APRA and ASIC)

Industry exposure includes: ADI's, Managed Investments (REs), Life and General Insurance, Superannuation, Securitisation, Distribution, public policy development and corporate governance.

## KEY STRENGTHS & FOCUS

- Program & project management for SDLC design, develop, test, implementation & handover;
- Ability to design & implement simple bespoke policy & IT solutions in complex environments;
- People-oriented project manager with above average communication skills;
- Led multi-disciplinary teams on and offshore : Singapore, Hong Kong, US, India, China and NZ.
- Experienced in regulator liaison and negotiation (CoFR, MAS, FSA and others);
- Understands front, middle and back office functions in funds management and dealing rooms;
- Risk frameworks and program development (qualitative and quantitative methodologies);

## KEY ACCOMPLISHMENTS

- Successfully led 1st banking CSE on behalf of CoFR in Australia. Large budget with 160 staff.
- Engaged by large bank to assist in the rectification of the significant EU. Restructured operational risk and compliance functions and led design and development of new issue management platform (core of EU) including all processes and policies. As a result of its success in Wealth Management he was re-engaged by bank to roll out the solution across the banking Group worldwide.
- Established many Risk and AML/CTF programs for clients of large legal firm as Principle Consultant in the Financial Services Consulting (NSW, Victoria and Canberra).
- Engaged by Singaporean group to establish appropriate governance and compliance measures across its Singapore, Australian and British Virgin Island entities, including AML/CFT programs, and liaise with MAS for licence in preparation for listing on SGX.
- Engaged by a large Responsible Entity (RE) with many fund boutique fund managers to assist in establishing its first hedge fund including governance design programs.
- Developed and implemented risk and compliance platforms with large RE's and fund managers.
- Project lead for all system conversions: GLs, Polisi, IS2, Gen+ (rescue project), Gypsy, Fujitsu and others. Design and development of new paperless platform (still in use today at large bank & Credit Unions.
- Established new 'Business Technology' divisions for large life company. Responsibility for all business and customer facing systems, multiple conversions and integrations across life and superannuation systems (Oracle, SSS, SAS, Calibre, Life 400, ALIS, etc) DBs include SQL, Pervasive, DB2 etc.

