

## Andy Phillips

New Jersey, USA

Mobile: 908 528 1829

[andyp@njhealey.com](mailto:andyp@njhealey.com)

### Profile

- ❖ *Managed global Data Science and development team in designing, developing, calibrating and deploying market surveillance and anti-money laundering technology utilizing explainable features-based behavioral models*
- ❖ *Capable and willing to lead Compliance professionals from behavior definition to feature-based surveillance creation, while at the same time directing data scientists and developers*
- ❖ *Extensive experience delivering projects in Trading, Brokerage Operations and Firm Systems*
- ❖ *Proven IT management experience supporting the Financial Securities industry, working directly for C-level executives*
- ❖ *Expert senior client (internal and external) relationship and program manager with strong process management, presentation and innovation skills*
- ❖ *Extensive experience in vendor management and offsite/offshore development. Experience of IT outsourcing to India, Philippines and Mexico*

### Experience

2016 - 2020

#### **Director, Global Compliance Behavioral Analytics Technology**

Citi

Responsible for 30+ Data Scientists and Python prototype developers, pioneering the introduction of behavioral analytics as an alternative to traditional deterministic methods of market abuse and money laundering detection

- ❖ *Led the design and prototyping of trade surveillance and monitoring with behavioral models for scenarios including FX Fix manipulation, close price manipulation, wash trading, spoofing, Phishing, Front Running, Treasury Auction manipulation for Equities, Fixed Income, Commodities and FX. These scenarios were successfully implemented into production*
- ❖ *Led the design and build of Proof-of-Concepts for Money Laundering detection for Institutional Markets customers (Hedge Funds, Corporates). Success led to the global implementation into production*
- ❖ *Designed and built other Proof-of-Concepts for the retail and credit card businesses demonstrating a reduction in false positives. Incorporated logistic regression to further improve results*

2014 - 2016

#### **Senior Vice President, Global Markets Trade Surveillance Technology**

Citi

Responsible for 100+ Global Technology group with ~\$20mm global budget, managing and developing a portfolio of global trade surveillance applications.

- ❖ *Driving technology strategy, vision and overall direction of the group*
- ❖ *Building a partnership with senior compliance personnel globally*

2008 - 2014

#### **Vice President, Global Security Systems Technology**

Goldman Sachs

Led the 8-person, multi-location Geneva Portfolio Accounting technology team for Prime Brokerage and GS Execution Clearing Services.

- ❖ *Oversaw a major upgrade from Geneva v6 to v9 for Prime Brokerage, delivering the 9-month project on time and without issue at the same time as managing day-to-day activity*
- ❖ *Global manager for the Client Technology Services group responsible for external client interaction including technology representation in the sales process, onboarding and support*
- ❖ *Co-managed the 34-person technology team in Asia from Hong Kong in 2010 and 2011*
- ❖ *Performed consulting on various client technology projects for Prime Brokerage as a member of the Strategic Initiatives group, including conducting analysis and requirements gathering for a new Fund Manager Portal*
- ❖ *As part of the Portal development team, led the design and development of a desktop real time portfolio management system and coordinated between the business and an outside design group to develop the design for the latest PB client web portal*

2006 - 2008	<p><b>Executive Director, Prime Brokerage Technology</b> <span style="float: right;"><b>Morgan Stanley</b></span></p> <p>Created and led a 100-person Shared Services group in IT supporting the Prime Brokerage business unit. Shared services included Prime Brokerage reporting, products and pricing reference data, PMO and testing.</p> <ul style="list-style-type: none"> <li>❖ Created a Client Experience team and worked closely with clients and the business unit to form a strategic plan for updating client technology. Oversaw the execution of this plan to greatly enhance user interface ease-of-use using Flex technology</li> <li>❖ Mentored and led the Products &amp; Pricing team to decoupled Products &amp; Pricing systems from applications and make them available for all Prime Brokerage applications</li> </ul>
2002 - 2006	<p><b>Managing Director, Financial Services (2005-2006)</b> <span style="float: right;"><b>Keane</b></span></p> <p>Leadership position responsible for establishing a Financial Services practice, understanding industry trends and challenges, creating solutions to take to market and providing support to the sales organization.</p> <ul style="list-style-type: none"> <li>❖ Created a Customer Experience solution set with Sales and Marketing toolkits to sell to the financial services sector, leading to business at a major brokerage company</li> </ul> <p><b>Managing Director, Morgan Stanley Account (2002-2005)</b></p> <p>Responsible for the Morgan Stanley account, including P&amp;L and the service delivery of the 200 technical staff on that account.</p> <ul style="list-style-type: none"> <li>❖ Grew revenues by 40%, reduced SG&amp;A and expanded delivery to include offshore (Canada). Worked closely with key client IT managers supporting Equity, Fixed Income, Brokerage Operations and Firm Systems</li> <li>❖ Received company award for surpassing company targets</li> </ul>
1996 - 2002	<p><b>President &amp; CEO</b> <span style="float: right;"><b>CyLogix, Inc.</b></span></p> <p>Co-founded software consulting company that focused on the Financial Securities Industry. Together with my partner, we pioneered the “employee-emulation” model offering near-site services with comparable staff, at lower cost, incorporated into client’s teams.</p> <ul style="list-style-type: none"> <li>❖ Personal credibility gained financial backing to fund start up</li> <li>❖ Grew revenues to \$27 million with an employee base of 250 with 4 north east locations</li> <li>❖ Built a reputation for quality and trust to be able to handle support and development of mission critical systems for major clients in the Financial Securities Industry. Those systems included applications for Trading Systems, Brokerage Operations and Market Data</li> <li>❖ Kept attrition to single digits through a strong focus on employee programs</li> <li>❖ Sold company in 2002 to Keane, Inc., a major consulting company</li> </ul>
1986 - 1996	<p><b>Vice President, Information Technology</b> <span style="float: right;"><b>Morgan Stanley</b></span></p> <p>Oversaw 130 technology staff with responsibility for supporting systems for Credit Risk, Corporate Treasury, Cash Disbursements, Mortgage Backed Securities, Equity and Fixed Income Trading. In 1990, as a Data Center Manager, I was responsible for all Data Center functions. In 1991, as a project leader I moved to Tokyo to take responsibility for support of the Equity Trading desks in Asia. Spent 4.5 years in Tokyo with responsibility for Fixed Income and Equity Trading technology.</p> <ul style="list-style-type: none"> <li>❖ Built an Index trading system and a Futures and Options trades processing system</li> <li>❖ Established a delivery center in Mexico and oversaw the implementation of procedures and standards for all centers including the UK and India (my foundation for starting CyLogix)</li> </ul>
<b>Education</b> 1981	<p><b>B.A. (Honors) Business Studies,</b> <span style="float: right;"><b>Middlesex University, London, England</b></span></p>
<b>Honors &amp; Activities</b>	<ul style="list-style-type: none"> <li>❖ Received Ernst &amp; Young NJ Entrepreneur of the Year award in 2001</li> <li>❖ Member of the board of the Scranton Chamber of Commerce (2000-2003)</li> <li>❖ Member of the US Cycling Federation</li> </ul>