

**Anna F. Lekht, CPA**  
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### ***Internal Audit – Compliance – Business Process – SOX – Project Management***

Ms. Lekht is an experienced Internal Auditor/CPA with significant investment sector experience in the financial services industry. Her expertise is in operational compliance auditing. Anna is skilled in performing risk and control assessments and building strategic audit plans that ensure effective control structures. She has a proven track record in analyzing business processes, policies, procedures and implementing changes. Anna is recognized for exceeding business targets in a series of time sensitive projects. Highly effective in:

- Internal Audit
- Business Process Management
- Release Management
- Sarbanes Oxley
- Fixed Income Business
- Agile/Scrum
- Regulatory/Compliance
- Broker/Dealer Operations
- Budgeting
- Quality Assurance
- Treasury
- Analytical Skills
- Risk & Control Assessments
- Investment Accounting
- Critical Thinking
- General Accounting
- Credit Risk Management
- Problem Solving
- Model Audit Rule
- SAS 65 Audit
- Communication Skills

### ***HIGHLIGHTED CAREER ACHIEVEMENTS***

- Led Business Case to Return on Investment (BC2ROI) project that enables lifecycle investment monitoring. Utilized Scrum (Agile) and waterfall methodologies to successfully execute the project. Focused the team on business objectives and tracked progress in Clarizen to ensure project milestones were completed on time, on budget, and with desired results. (KPMG)
- Represented Investment audit team to address the impact of the Sarbanes-Oxley Act on the Company. Worked closely with external auditors and management in performing walkthroughs, identifying and documenting SOX processes, controls, and reviewing testing results. Instrumental in advising Process Owners across the various business units regarding the assessment of management's testing, documenting observations and results. Primary contact with management in SOX maintenance updates and testing observations and provided necessary approval of any changes and/or exceptions to SOX process. (AXA)
- Streamlined the audit program for the Custody audit to conform to Generally Accepted Accounting Principles (GAAP) requirements. This included ensuring existence of securities invested in the General Account by confirming with third parties through a sample of long-term fixed maturity public and private securities, statutory deposits, and physically inspected private securities held in the vault. Documented and ensured compliance with Statement of Auditing Standards (SAS) 65 audit requirements. (AXA)
- Led audits to provide reasonable assurance as to the adequacy of systems of internal control covering relevant governance, risk management and control processes and documented results via internal audit reports. Business areas of responsibility included the Office of the Chief Investment Officer (Portfolio Management and Credit Risk), Treasury Operations, Investment Accounting Group, and the two of the Company's investment subsidiaries. Products covered public/private corporate bonds, CMOs, CMBs, private equity and hedge funds. (AXA)
- Ran comprehensive controllership services in Accounts Receivable, Accounts Payable, invoicing, budgeting, payroll, general ledger, sales tax, and regulatory compliance issues. (AFL)

### ***EMPLOYMENT SUMMARY***

<b>Techpar Group</b>	<b>2020 – Present</b>
<b>Pro Unlimited (KPMG)</b>	<b>2013 – 2020</b>
<b>AFL Consulting LLC</b>	<b>2012 – 2013</b>
<b>Experis (AIG)</b>	<b>2011 – 2012</b>
<b>AXA Equitable</b>	<b>1998 – 2011</b>
<b>J.P. Morgan &amp; Co. Inc.</b>	<b>1997 – 1998</b>
<b>National Futures Association (NFA)</b>	<b>1995 – 1996</b>