



Arjun Saraswat

Senior Manager
Consulting

Contact information

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Industry lines

Financial Services

Clients

US Foreign Banking Operations for
Asian Banks
Largest US Banks
Middle Market Lender
One of the Largest Japanese Banks
Leading Broker Dealer
Leading Insurance/Reinsurance
Companies
Leading Online Electronic Trading
Firm

Education

University of Massachusetts, Amherst
– BBA

Major(s) – Accounting & Economics
Minor(s) – I.T & Mathematics

Columbia University, New York –
MBA

CISA Certified
Certified Scrum Master
SAFe 4 Certified Agilist

Professional experience summary

Arjun Saraswat is a Senior Manager in the Consulting practice of Ernst & Young LLP. He is part of the Technology Risk service line. Arjun has focused his career on the identification of technology (and business) risks and testing of related controls/process, with an emphasis on remediation activities. Furthermore, Arjun has managed many internal audit and risk management teams, and led transformational activities (using agile and dev ops principles), current and future state assessments, agile development, and pre/post implementation reviews.

Engagement experience

- Arjun has managed multiple Internal Audit departments as a part of outsource/co-sourced initiatives. This has included in planning and performing the risk assessment for internal audit, managing the execution of the audit plan, and reporting of these audits/thematic issues to applicable stakeholders. Additionally, Arjun has redefined multiple Internal Audit methodologies by implementing agile focused concepts to enhance effectiveness of coverage and streamline efficiencies
- Arjun has participated in various projects, providing IT and technical expertise and focused on testing of controls. These projects ranged from Project Based Audits, Risk and Controls Identification and Gap Assessments against various regulations such as SOX, FFIEC, NIST or on focused technology areas such as SDLC/Change Management/Infrastructure, IT Asset Management, End User Computing, and Cyber Security. The type of work completed includes planning the overall approach, executing of testing of controls related to the audit, and preparing and finalizing the audit reports.
- Arjun has been involved in multiple pre- and post implementation reviews conducted by internal audit. These projects have been focused on data base, migrations, application buildout, and agile methodology & related tool implementations. Arjun's responsibility on these projects was to provide real-time feedback as it relates to key risks and controls that affect these projects. This involved meeting with stakeholders periodically, and performing analysis to provide feedback during the project timeframe. Additionally, Arjun was responsible for providing updates to key executives and stakeholders for these projects, and follow up on any remediation actions taken by management against findings found by Internal Audit.
- Arjun was involved in defining the Internal Audit data assurance strategy for a major U.S. bank. The strategy was defined across data management process aligned to BCBS 239 principles to address long standing MRAs and OCC Heightened Standards controls deficiency. Within his role, Arjun led the creation of defined review guides and test programs to incorporate design and operational effectiveness testing for this strategy. Other deliverables for this project included a comprehensive coverage analysis of historical audits against the data framework in place, and the creation of a robust training guide for rolling out the data assurance strategy and review guide.

Technical Skills

- Applications: Microsoft (MS) Excel, MS Powerpoint, MS Word, MS Access, PeopleSoft
- Platforms: Windows Server, Mainframe, UNIX.