

**Dr. Kwame O. Adu-Gyamfi, MBA, CFE, CICA, DBA**

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**PROFESSIONAL EXPERIENCE:**

**Rutgers University, Rutgers Business School – Department of Finance & Economics**  
**Assistant Professor of Professional Practice – Finance**

**December 2021 – Present**

- Provide classroom teaching and learning experience to undergraduate students in the Finance Department.
- Teaching securities analysis, stocks and bonds valuation to undergraduate students Spring 2022.
- Provide additional assistance in developing the Finance program at RBS including outreach to minority communities within the Newark and New York municipalities.
- Provide course and career guidance/advise to Finance students seeking entry level positions in Corporate America.

**Bank of Tokyo Mitsubishi UFJ (MUFG), New York, NY**

**January 2015 – Present**

**Director – Global Corporate Investment Bank, Business Strategy & Operations** (October 2019 – Present)

- Strategic Finance Business leader able to multi-task on projects within the Investment Banking Division covering M&A activities and business transitions.
- Strategic review and assessment of new target deal acquisition due diligence and investment portfolio management prior to business acquisition and integration.
- Perform end to end assessment and research of newly acquired businesses to ensure seamless integration of their investment portfolio into existing businesses within Global Corporate and Investment Banking.
- Perform process improvement initiatives as a means of driving efficiencies in business operations supporting business acquisitions and integrations into existing business.
- Perform weekly review and challenge sessions with business executives and integration managers to identify potential issues stemming from acquired businesses for senior executives reporting.
- Track and monitor identified risks and issues stemming from acquired business for timely remediation of action items.
- Provide weekly dashboards and metrics on various risks and business opportunities impacting acquired business.
- Oversee US Global Corporate Investment Banking LIBOR transition initiatives for impacted LIBOR contracts requiring remediation with other financial institutions in syndicated deals as well as client contracts.
- Oversee impacted LIBOR contract remediation strategies and lifecycle from loans/derivatives contract origination through remediation with syndicated banks and clients.
- Provide timely regulatory reporting dashboards to Tokyo and US Regulators relative to MUFG US LIBOR exposures and remediation status.
- Manage, mentor, and provide coaching support to staff on multiple business projects and initiatives within the Bank.
- Partner with key support functions and senior stakeholders in Technology, Finance and Accounting to ensure timely integration of acquired business into the Investment Banking business.
- Oversee internal audit review as well as ongoing monitoring of acquired business and LIBOR transitioning projects within the Investment Banking business.
- Oversee staff performance review and evaluation including delegation of tasks amongst the team.
- Continuous monitoring of tasks and business operations being executed by staff as a means of minimizing operational risks.

**Vice President – Global Audit Strategy & Strategic Initiatives and Regulatory Management** (May 2018 – October 2019)

- Strategic project mapping, risk assessment coordination, business understanding and integration of legal entities (i.e., the MUSA and MUSE etc.) for audit execution.
- Strategic review and assessment of new target deal acquisition transaction due diligence prior to integration.
- Identified various systems, applications, and processes supporting various products and services as part of the MUSA and MUSE Audit Regional integration.
- Performed deep dive analysis and assessment of credit, market and regulatory risk impacting MUSA/MUSE.

- Responsible for the review of related regulatory MRA issues being validated by impacted Internal Audit Teams.

***Vice President – Investment Banking and Markets – Internal Audit Department (July 2016 – May 2018)***

- Responsible for performing, executing, and managing audit teams covering investment product trades through the full audit life cycle from planning phase through reporting of identified audit issues.
- Audit execution and delivering of audit reports relative to investment products to senior executives within the Bank.
- Assessed and evaluated various control touchpoints within investment trade lifecycle from origination, structuring, initiation, booking of the transaction, recording of the transaction to settlement of the related trading activities.
- Performed deep dive analysis and assessment of credit, market and reputational risks portfolio including watch-list items impacting front office business units.
- Assessed and evaluated existing internal controls supporting trade deal originations and structuring process to ensure adequate controls have been implemented by management to mitigate risk exposures.

***Vice President – Financial Reporting and Corporate Functions – Internal Audit Department (Jan 2015 – July 2016)***

- Performed detailed risk & control evaluation of existing portfolio monitoring, review of problem loans and watch list items including Accounts Payable Processes.
- Discussed and delivered audit findings and recommendations relative to Investment Banking products to senior executives within the Bank relative to credit exposures.

***JP Morgan Chase & Co, Columbus, OH – April 2013 – January 2015***

***Associate Controller – Internal Controls and SOX Coordinator (Consumer and Business Banking)***

- Documented noted exceptions and gaps identified through SOX walkthroughs of existing processes and communicated findings with senior management.
- Responsible for tracking and monitoring of noted credit deficiencies analysis to ensure timely remediation of issues impacting Consumer and Business Banking line of business control environment.
- Performed detailed root cause analysis of noted issues for timely remediation and testing within the business.
- Responsible for the planning, developing, and coordinating monthly and quarterly management representation letter and control affirmation process to senior controllers within the SOX Corporate Office to ensure compliance with JP Morgan Chase SOX Framework.

***AIG Property and Casualty, New York, NY – September 2009 – March 2013***

***Reinsurance Accounting SOX Project Lead – Global Finance Controls Unit SOX Department***

- Performed oversight and management of AIG US and International Reinsurance Accounting processes including internal controls and financial reporting for SOX review and testing of reinsurance contract placement and risk transfer processes.
- Performed optimization and streamlining of existing reinsurance controls globally to ensure efficient and effective SOX 404 internal control assessment processes for SOX testing across AIG offices in London, Ireland, Germany, Holland, Italy, and Spain.

***Brown Brothers Harriman & Co, New York, NY – September 2007 – August 2009***

***Audit Senior – Internal Audit Department (Treasury, Markets & Banking)***

- Documented and tested key risks and controls impacting Brown Brothers Credit Risk Administration relative to loans, overdrafts and portfolio management.
- Performed audits of investment products including Short Term Investments for BBH clients, Securities Lending and Operations, Funds Transfer, Credit Risk Analysis, and Collateral Monitoring.

***KPMG LLP, New York, NY – August 2005 – August 2007***

***Audit Senior Associate – New York Financial Services, Banking Practice***

- Documented testing and reporting compliance with Sarbanes-Oxley 404 requirements for various external audit clients (Credit Suisse First Boston, GE Capital, WR Berkley, Provident Bank and Carver Federal Savings Bank etc..) relative to investment products offered to clients.
  - Collaborated on the review and audits for various audit clients 10Ks and interim financials relative to yearend financial statement filing with SEC including pension funds reported.
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## **Education**

**Rutgers University School of Business, Newark, NJ – June 2022**

*Doctor of Business Administration (DBA) – Finance Concentration*

**Cornell University Johnson Graduate School of Management, Ithaca, NY**

*Master of Business Administration (MBA),*

**Adelphi University, Robert B. Willumstad School of Business Garden City, NY**

*Bachelor of Business Administration (BBA), Accounting & Finance Concentration – Cum Laude*

**University of Cape Coast, SDA Training College Asokore, Koforidua Ghana – West Africa**

*Certificate A – Post Secondary Education*

## **PROFESSIONAL CERTIFICATION(S)**

- Financial Risk Manager (FRM) *Candidate*
- Certified Fraud Examiner
- Certified Internal Controls Auditor
- Certificate A – Teachers Education

## **Key Teaching Competencies & Industry Specializations**

- Experienced Investment Banker/Auditor with deep passion and drive for research in financial institutions products (i.e., Derivatives, Loans, Bonds, Mutual Funds, Exchange-Traded Funds, Certificate of Deposits and Commodities etc.) banking.
- Passion for research into banking regulatory reforms and its impact on the financial markets.
- Innovative leader possessing ability and drive in imparting industry knowledge and best practices through teaching and learning to potential students.
- Ability to perform top research in the Banking and Finance area for publication in business journals.
- Excellent communicator, thought leader, and practitioner adept with multi-tasking on assigned projects and tasks with tight deadlines focused on quality and exceptional delivery.
- Ability to synthesize complex processes relative to a target company acquisition in M&A activities.
- Excellent business leader in planning and executing investment products lifecycle in a fast-paced environment.
- Credit risk management and assessment of global counterparty risk impacting business and investment operations.
- Adept in developing strong business relationship with internal and external stakeholders as well as regulators.
- Strategic financial risk and controls expert with the ability to drive change, business growth opportunities and project management within tight timelines.
- Ability to drive process improvement and integration within global business entities for product alignment.
- Outstanding team player and mentor with the ability to train and develop new talent to drive key initiatives.
- Ability to assume responsibility and accountability for decision-making in presenting research findings to senior executives and stakeholders.

## **Key Research Area of Interest**

- Corporate Finance
- Security Analysis and Valuation
- Investments
- Financial Markets
- Mergers and Acquisitions
- Money and Banking
- International Banking and Finance
- Financial Statement Analysis
- Auditing
- Corporate Governance

### **Teaching Experience**

- Security Analysis – Spring 2022, obtained a 4.83 Teaching Effectiveness Rating
- Introduction to Finance – Summer 2022, obtained a 4.83 Teaching Effectiveness Rating
- Introduction to Finance 2 classes – Fall 2022.
- Corporate Finance 2 classes – Fall 2022.