

Stephen Pesner

Summary

Steve Pesner has spent the past 26 years consulting in Information Technology (IT) for the Canadian Financial Industry (Wealth and Investment Management, Capital Markets) performing strategic and detailed product research, planning and design, business architecture, functional specifications, and supporting operational business systems across all Industry sectors.

Steve's industry products and services expertise includes; wealth management; securities portfolio investments; custody, recordkeeping and administration; securities depository clearing and settlement; mutual fund shareholder recordkeeping, administration and networks; retail broker client workstation and back-office support systems; Institutional equity trading; insurance asset-liability management; financial institution accounting and reconciliation; comptrollership and treasury operations.

Expertise

Business enterprise architecture and design for industry products & services.

Industry product systems application assessment, requirements and recommendations.

Industry product research, planning and innovation with technology.

Mentoring industry organizations on business technology and directions.

Project Management.

Employment Summary of Past 8 Years

eClientscope Inc. (Partner): small specialized Financial Industry consultancy focusing on IT planning for business, technology and operations; supporting Financial Industry products and services. (2001 - 2005)

Stratix Consulting (Sr. Consultant): small specialized Financial Industry consultancy focusing on IT strategy, planning and architecture, for product business, operations and technology; IT governance. (2005 - 2008)

Industry Sectors Focus

Banks, Brokers (retail and institutional), Investment Managers, Trust and Estate Management, Mutual Fund Companies and Dealers; Securities Custody; Insurance.

Financial Industry intermediaries: CDS Clearing and Depository Services, FundSERV; Canadian Payments Association (CPA), Trading/exchange services (TSX and other exchanges).

IT Expertise

Wealth and Investment products research and functional and technical design.

IT planning for Wealth and Investment Management products; business systems, supporting operations, technology.

Business enterprise architecture and design across and within individual industry sector businesses; and intermediaries.

Product/services system application assessment and requirements (functional, non-functional and technical).

Business processes and work-flow design; and data modeling.

Project Management - small projects

Stephen Pesner (continued)

Sample Industry Assignments

Institutional equity trading platform, developed requirements application architecture, separately, for 3 major institutional equity-trading operations, with Stratix Consulting; (mid 2000's).

Comparative analysis of the 3 Canadian Broker back-office systems (ADP/ Broadridge, IBM/SIS, ADP/Dataphile) for major Canadian Bank; with Stratix Consulting; (mid 2000's).

Corporate eBusiness plan for CDS, developed with eClientscope; (early 2000's).

Canadian Capital Markets Association (CCMA) T+1/STP industry-wide initiative; eClientscope was selected, via competitive bid, to run its Program Management Office; (early 2000's).

Virtual Matching Utility (VMU), comparative analysis; RFI, feasibility and cost study for CCMA and CDS T+1/STP initiative (refer to Industry White Papers on NI24-101); with eClientscope; (early 2000's).

Syndicated research study on Wealth Management products distribution; author of Brokerage wealth products section; sold to most Financial Institutions, Intermediaries and Regulators; with Madden Fast & Associates; (late 90's).

Wealth Management IT plan, developed for CIBC Wealth Management executives; included IT architecture trends, business models and tutorial workshops; for product development group; marketing and sales; operations; and systems; (late 90's).

Retail Brokerage platform, planning, architecture, functional analysis and specifications for full service Registered Representative (RR) sales; for BMO-Nesbitt Burns; and Scotia McLeod; (mid 90's).

FundSERV concept design – request by Investment Funds Institute of Canada (IFIC) Board Chairman to submit initial concept working paper on an industry mutual fund order and clearing network for presentation to Board and industry members; (early 90's).

Mutual Fund Shareholder recordkeeping system and order network; requirements, design and Request for Proposal (RFP) with Canada Systems Group (CSG); and Royal Trust; (late 80's).

Industry White Papers

Author of 4 white papers with Stratix Consulting (Mid 2000's):

-“*Achieving STP*”;

-“*FIX and Electronic Trading*”;

- CSA “*NI24-101 Cheat Sheet*”;

- CSA “*NI24-101 for Investment Managers*”

refer to <http://www.stratix.ca/en/research>

Education

Master of Business Administration (MBA):
Honours with Distinction, Concordia
University, Montreal, Quebec (1978)

B.Comm: Honours, Sir George Williams
University, Montreal, Quebec (1976)

Lecturer: Business Finance, Concordia
University (1978)

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Sample Industry Assignments (continued)

CDS ELTRA Clearing System – representing Banks & Trust Companies – developed business and systems architecture, specifications and functional design of the new CDS clearing and settlement system; (mid 80's).

Trust Accounting System redevelopment (2 years) – co-directed project management, system planning, architecture, requirements, design and development; team reported directly to the President; with Montreal Trust; (early 80's).