

Doris Brophy

Principal Advisor

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Doris Brophy has over 25 years in the Financial Services Industry. Her focus has been entirely financial services on both the buy side and sell side as both consultant and fulltime employee. Doris has held positions at Merrill Lynch, JPMorgan, Deutsche Bank, Stark Investments and Millennium Partners Group.

Ms. Brophy has an extensive Technology and Data Background. Doris began her career programming innovative market data solutions, complex options models, trading systems, and global networking solutions. As a technologist, architecture has been a particular focus for Doris and she was an early adopter and influencer of client server, SBA (Service Based Architecture) solutions, thin client, and browser deployment. As a process efficiency enthusiast, Doris has led the re-engineering of existing processes as well as the initial set up of data operation processes and technology management processes. Doris has led both internally developed and externally sourced technology and data solutions managing internal teams and 3rd party vendors.

Most recently, working for JPMorgan Chase Asset Management, Ms. Brophy served as Domain Executive for the Chief Data Office for Business Products and Services. Within the Products and Services data domain, Doris defined and drove the strategic Data Governance and Controls approach which resulted in greater Global Alignment and improved Data Quality and Controls for Risk, Client Reporting, and Regulatory Reporting. Doris also established the RCSA framework as well as oversight of Solvency II, Morningstar APT adoption, and SEC Modernization among other impactful projects.

As interim COO/PMO for the Equities and Electronic Trading and Technology team at Millennium Partners Group, Doris set up the PMO providing oversight and executive reporting while assuming responsibility for numerous projects including EU Short Sale Rule, Dodd Frank, offshore development capabilities, and DR/BCP planning and testing.

While CIO at Stark Investments, Doris implemented software and Infrastructure to support growth of the organization in size, assets under management and number of strategies while supporting the day-to-day technical support of the trading business, working with the founding partners to create opportunities for business growth. Doris defined a scalable architecture, hired and trained staff, implemented Trading, Analytic, Pricing, Risk, Reconciliation, Interfaces, and a FIX component. Doris integrated internal and external application components and sourced Bloomberg for a Common Securities Master of Fixed Income and Equity Security Data.

Ms. Brophy's skills and experience in the financial services industry include:

- SME with extensive Capital Markets and Asset Management experience
- Led internally developed and externally sourced technology and operations transformations
- Strategic organizational development including establishment of technology organizations and global architecture, PMO, Data Governance COE, and PM best practices
- Regulatory, risk, financial, and client reporting including analysis, data lineage and stewardship, review and oversight

Ms. Brophy earned her B.A. in Computer Science and Economics with a concentration in Mathematics from Hiram College. She studied graduate Economics at Rutgers university had has been a judge for the MIT Sloan School of Business CIO of the year award since 2009.