Sarah L. H. Burroughs, PMI-ACP, LSSGB

IB, AM, HF, FMU Coverage: Client-centric Technical Product and Program leader specializing in custom enterprise product solutions for regulated financial institutions, subspecializing in GRC, regulatory, trade lifecycle, and client lifecycle/onboarding/KYC infrastructure and automation. Depth and breadth of experience spans new build specification, regulatory research, client custom solutions, technical account augmentation, distressed account recovery, and SaaS GTM. Skilled at designing and delivering 0 to 1 builds through F2B Agile PSDLC, SDLC leadership, and SDD-based agentic POC development. Adept at garnering stakeholder and engineering partner confidence through consistent communication, technical acuity, and domain expertise.

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WORK EXPERIENCE

TPO/PdM - Enterprise Digital Solutions (r/t: D, CLM PdM)

Depository Trust and Clearing Company (DTCC)

11/2024 - Present *Jersey City, NJ (Hybrid)*

- PdM/PgM/PdO/SA: Won Document Mgmt Sysetm Appian Reengg Q1 2026; designated PdM, PgM and Solution Arch lead to specify and govern 0-1 build (Appian, PostgreSQL DB, OpenText). **Primary responsibilities:** build specs, DB schema, stack eval, integrations, governance, FP&A, HC planning.
- PdM/SaaS: Lead design and delivery of PowerBI Onboarding Insights Dashboard (addl't 4 FTEs) to identify process inefficiencies toward resolving onboarding bottlenecks and reducing time-to-revenue. **Primary responsibilities:** requirements gathering, data validation, visualization specs, target insights/KPI development, data integration specs.
- PdM/PgM: Lead Enterprise Digital Solutions - Client Lifecycle Management Solutions Scrum squad (5 FTEs); implemented standardized SDLC process and team coaching, resulting in proactive participation and ~25% reduction in SDLC cycle time w/in 1 quarter. **Primary responsibilities:** build specs, requirements gathering, app dev team coordination, client relationship mgmt.
- PdM/PdO/PgM: Design, deliver, and train global teams on IBM BPM E2E Doc Lifecycle Mgmt w/ Onboarding/Appian and Salesforce integrations for Institutional Trade Processing, Alt. Investments, and Repository & Derivatives Businesses (700+ users). **Primary responsibilities:** requirements gathering, build specs, data validation, ETL specs, engg team mgmt.

TPM - D. E. Shaw Compliance, Pricing/Valuations, and Investment Management Custom Solutions (r/t: SVP, Prof Svs & Tech R&D)

Arcesium, LLC - D. E. Shaw & Co.

04/2021 - 02/2024 *New York, NY (Hybrid)*

DE Shaw's in-house fintech, focused on product development, tech stack maintenance, and enterprise platform sales

- PdM/SaaS: Won, negotiated, and managed 37% increase (to 52 FTEs) in FTE spend for D. E. Shaw Compliance Tech R&D with headcount for 2024 to augment enterprise Compliance platform across 9 applications with a roadmap focus to automate risk detection, regulatory filings, and trade eligibility. **Primary responsibilities:** prioritization, build/enhancement specs, engg/product team mgmt, demo oversight, regulatory research, release oversight, client relationship mgmt, upsell negotiation.
- Tech R&D/SaaS: Designed and led 0-1 build and drove GTM strategy of new platform offering "Form PF Sec. 5," launching the first commercial product to automate Form PF Sec 5 compliance. **Primary responsibilities:** build/enh roadmap, GTM, regulatory research, cross-team deliverable mgmt.
- SaaS: Led identification of enterprise-level KPI contributors and created Client Satisfaction Metrics Framework implemented firmwide; used to systematically identify relationship and technical issues for remediation and upsell opportunities. **Primary responsibilities:** FinOps optimization, rate card optimization, data gathering and reconciliation, case presentation, C-Suite engagement.
- PdM/SaaS: Won and managed 25% increase in spend (to 5 PM/Engg FTEs) in 2nd contract year of relationship for Valuations 2022. Automated fund and portfolio PnL exception identification and notice, persistent through 2023 w/ roadmap focus to automate fund and portfolio PnL anomaly detection, trade exception threshold monitoring/handling. **Primary responsibilities:** prioritization, build/enh specs, engg/product team mgmt, demo/release oversight, client rel. mgmt, negotiation.
- PdM/SaaS: Won and managed 2 fixed-bid FDE FTEs for DESIM Custom Solutions for 2023 with tactical roadmap focus to deliver custom fund and fund-of-funds reporting. **Primary responsibilities:** trade report specs, client mgmt, data integration and config specs, cross-team deliverable mgmt.
- PdM/SaaS: Implemented and led issues/bug triage and resolution processes, inclusive of Dev and QA, reducing Control Room and Trade Surveillance technical incidents 20% in 1 quarter. **Primary responsibilities:** process reengineering, client relationship mgmt, engg team mgmt.

EDUCATION

BA, Economics, Finance

Vanderbilt University

Nashville, TN

CERTIFICATIONS

PMI - Agile Certified Practitioner (2020 - Present)
Project Management Institute

Lean Six Sigma Green Belt (2020 - Present)
Six Sigma Council

Professional Scrum Product Owner I (2018 - Present)
Scrum.Org

Professional Scrum Master I (2018 - Present)
Scrum.Org

GITHUB

ACE (AI Compliance Engine) (2025 - Present)

- AI-integrated, multi-tier logic regulatory engine, CXO compliance suite, summary output, adjudication, forward guidance (Dev, QA, PROD) for Financial Svs and SaaS AIGC regulatory audit readiness.
- Current (To-T+7): Engine orchestration, multi-agentic loop architecture, UI, Suite, logic layers, 3 AI API integrations, dashboard analytics, runbooks, reg ingestions, protocols, SR 11-7, ISO 42001 (FS), SR 26-2 MVPs live.
- T+8-35: Roadmapped.

SKILLS

Technical Product and Program Mgmt

Spec Driven Development, Protocol Library Creation, Prompt Engineering

Claude, Cohere, Copilot, OAI; 500+hrs/3 PROD API Integrations

Enterprise Platform Product Mgmt/CX/SaaS GTM

Requirements/Technical specs, Whiteboarding, User Stories/ Journeys, Roadmaps/Portfolio Strategy, Integration/ETL specs, Regulatory Mapping/Data Remediation, RTR, Engg Team Scaling

WORK EXPERIENCE

Employment Break
Death of a Parent

02/2024 - 09/2024

TPM - Investment Management Tech (r/t: CTO, IMT)
Bank of New York Mellon - Investment Management Technology

01/2019 - 01/2021 *New York, NY (Hybrid)*

- PdM/PgM: Led specification, execution and delivery of BNYM Distribution and Marketing program and project portfolio (Front Office Advisor/Client trade platforms, Lion Remote (Dreyfus), Reg Reporting engines, Fund Accounting solutions, BNYM Investor Relations website) and ~12 FTEs. **Primary Responsibilities:** work intake pipeline mgmt, portfolio roadmap prioritization, forecasting, relationship/project risk identification and resolution paths, escalation mgmt.
- PdM/PgM: Led F2B SDLC and solution design for electronic trading suite (Lion Remote) rewrite, prioritizing UX enhancements, trade execution reporting features, data integrations, and codebase revision (+500 internal/external users). **Primary responsibilities:** build specs, enhancement roadmap, tech team oversight, market research.
- Chief of Staff: Conducted weekly briefings to CTO inclusive of scorecards, FP&A portfolio projections, and Client engagement forward guidance. **Primary responsibilities:** tech team mgmt, CAO negotiation (+5MM portfoliio), client relationship mgmt, Scrum Master.
- PdM/ProjM: Implemented ad-hoc trade reporting compliance solution w/in 6mos to satisfy CEA reporting requirements. **Primary responsibilities:** requirements gathering from CCO/Legal, regulatory research, build specs, tech team mgmt, QA testing, data integration specs, release mgmt, client relationship mgmt.

IT PM/BA (r/t: D, CLM, Global Compliance, Ref Data IB Solns)
UBS Investment Bank - Business Solutions

07/2016 - 12/2018 *Weehawken, NJ (Remote)*

- PdM/Pgm/ProjM: Led and delivered multi-year EMIR 2.0 and MiFID II LEI Mandate program; designed and implemented IB Institutional Client Onboarding regulatory automation, TOM, and platform, impacting +3000 global users, eliminating LEI-based regulatory risks for the IB, and saving $2MM+ in regulatory fines (Group COO Excellence Award, 2017). **Primary responsibilities:** MD-level process negotiations and requirements gathering, build specs, regulatory research, regulatory mapping, process reengineering and visualization, LEI data remediation, GLEIF integration specs, userguides, demos, user training/onboarding, triage, automate LEI reconciliation reporting specs.
- PdM:/ProjM: Elevated to functional Product Manager for IB Client Lifecycle Management (CLM) in 2018 to lead 0-1 Onboarding, KYC, Regulatory, and Digital Document Management solutions (1000+ global users). **Primary responsibilities:** requirements gathering, regulatory research, build/enhancement specs, Scrum Master, engg team mgmt, client relationship mgmt.
- PdM/Proj: Designed and delivered Gated Doc Mgmt Solution, used to pull/push reference data for remediation and reporting. Delivered and executed FX Trade Eligibility Dashboard to run eligibility requirements checks against EU and APAC cptys and publish findings for restriction action. **Primary responsibilities:** requirements gathering, regulatory research, dashboard reporting, build specs, demos, client relationship mgmt, user guides, user training/onboarding/troubleshooting.
- PdM/Scrum/ProjM: Spearheaded regulatory change initiatives (DF, BCBS) to deliver ad-hoc data lineage, reference data remediation, and entity master/legal entity master builds and enhancements. **Primary responsibilities:** requirements gathering, build specs, process reengineering, product onboarding, and global training.

ABOUT ME

Personality and Interests

Texas Hold'em, technology projects (ACE), political dramas, travel, mentorship, the Lamb's Club NYC, standup comedy, golf, culinary experiments, my dog Duck

Literature, Poetry; Broadway Favorites

A. Solzhenitsyn, F. Dostoyevsky, William Q. De Funiak, Khalil Gibran, Irin Carmon, Elizabeth Bishop, Maya Angelou, Emily Dickinson, Edgar Allan Poe, Pablo Neruda, Rupi Kaur; Phantom of the Opera, Man of La Mancha, Fiddler on the Roof

SKILLS

- 0-1 SDLC and PSDLC Leadership
- Tech Acct Mgmt, Engg Team Scaling (SaaS, B2B)
- Client Lifecycle Mgmt/Inst. Client Onboarding, KYC/AML, Process Reengineering
- BCBS 239, Bilateral Margining, DF, Volcker Rule, CFTC, MiFID II, EMIR 2.0 (LEI), MAS RTR, SR 11-7, SR-14, SR 26-2, EU AI Act, Form PF Sec 5, MNPI, Trade Surveillance, Control Room
- JIRA, Confluence, SP, MS VS Code, MS Office
- Python, Basic Automation, Logic; Flask
- PostgreSQL Schema Architecture and Review
- BPM, Salesforce, PBI, Snowflake, Appian, OpenText, GLEIF, BB, Markit, etc. DB Integrations. ETL Specs.

ADDITIONAL LANGUAGES

Hindi/Punjabi

Limited Working Proficiency

PROFESSIONAL MENTORS

Peter Smulovics
Morgan Stanley (MS), Microsoft (MSFT)
Distinguished Engineer, Prime Inventor: @ MS; 2x MVP @ Microsoft; Chair, Open Source Readiness - InnerSource, Emerging Tech @ The Linux Foundation; Chair, Tech Oversight @ FINOS; Writer @ Forbes.

Andrew Karp
Jefferies Investment Bank (JEF)
Managing Director, Global Head of Bank Relations.

Anthony Mayo
Bank of New York Mellon (BNY)
Fmr. CTO, The Dreyfus Corporation; Fmr. CTO, IM Technology.

Gary Kimball
Vanderbilt Owen School of Business
Director, Undergraduate Business Program; CEO, Rivermill Group.

PROFESSIONAL MENTEES

Luke Burroughs, ECSU '21 Accounting, CompSci

32BJ Funds - Business Systems Analyst, TechOps

Christian Kritas, SUNY Geneseo '23, Finance

Morgan Stanley - Associate, Model Risk and Governance

Jonathan Holland

St. John's University '30