



Kathryn R. Loo, CPA*, CGMA

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Kathryn Loo is a senior executive financial leader known for her pragmatic approach to problem solving while being flexible and adaptive. Her passion is to inspire positive change and continuous improvement. Kathryn enjoys a challenge and learning new industries, as shown by her diverse background in Financial Services, Technology Outsourcing Services, Horse Racing, Hospitality, and Casino Gambling.

As a Chief Audit Executive, Kathryn provided the vision and execution leadership for the internal audit and Sarbanes-Oxley (“SOX”) compliance functions. Utilizing twenty-plus years of experience in finance and accounting, she transformed those areas into highly productive programs, adding value and substantially decreasing cost. She effectively increased the level of communications with the Audit Committee to assist them in focusing on what mattered most to the company’s success. Because of her knowledge and abilities, Kathryn was twice called upon to be the interim Global Corporate Controller responsible for three US and three international operating groups.

Kathryn is a Certified Public Accountant*, as well as a Chartered Global Management Accountant and received a Bachelor of Science in Business Administration, Major in Accounting from the University of Nevada, Las Vegas on a full academic scholarship. She has spoken on the subject of SOX compliance to several professional groups.

Summary of Skills

- ✓ Internal Audit and Assurance Leadership
- ✓ Executive / Board Level Reporting and Corporate Governance
- ✓ Enterprise Risk Assessment and Risk Mitigation Measures
- ✓ Forensic Accounting Investigations
- ✓ Financial Controls Assessment
- ✓ Financial Reporting
- ✓ Sarbanes-Oxley Compliance Program Implementation
- ✓ Financial Shared Services Implementation
- ✓ Process Development and Improvement
- ✓ Financial Systems Implementation
- ✓ Operational Controls Assessment
- ✓ International Companies

Specific Experience

- Chief Audit Executive and Senior Vice President of a public financial services company (clearing broker/dealer provider of critical securities processing infrastructure products and services to the global investment industry) with \$300 Million annual revenue and \$12 Billion assets under management, operating in the U.S., Canada, United Kingdom, and Australia.
 - Implemented an in-house SOX Compliance Program, decreased program cost 57%
 - Led internal and external forensic investigations as appointed by the Audit Committee of the Board of Directors
 - Board advisor on all SOX and Internal Audit matters
 - Implemented the internal process for Service Organization Control audits under SSAE16 (formerly SAS70) produced for customers
 - Implemented highly effective Internal Audit reporting methodology, performance measurements, and observation tracking
- Finance and Accounting Leader for a \$21 Billion annual revenue public company IT Services Enterprise operating in 65 countries with 139,000 employees.
 - Team Leader to implement SOX Compliance Program in 2004 (first year required by the legislation)
 - Transitioned accounting functions in multiple countries to an offshore shared services center in Pune, India
- CFO and Controller for various public company operating subsidiaries in the Hospitality, Casino Gaming and Horse Racing industries ranging from \$110 Million to \$375 Million annual revenues with 1000 to 3000 employees.
 - Directed all financial aspects of a 1620-room convention hotel with \$110 million revenues, 16 food & beverage outlets, and 273,000 square feet of meeting space. Managed an organization of 125 staff including accounting, credit, IT, purchasing, F&B cost control, storeroom, warehouse, receiving, and mailroom
 - Implemented initial systems and processes for accounting and financial reporting/planning pre- and post-construction/opening, including design of the chart of accounts and accounting policies
 - Managed the implementation of new call accounting, property management system, electronic key system, restaurant point of sale (aggregate \$5 Million budget)
 - Key team member performing financial support for the syndication of \$244 million sale-leaseback of an Atlantic City casino; prepared two Form 10 securities registration filings and financial information and drafting support for two SEC registration statements: an equity offering of \$69 million and the underwritten call of \$22 million subordinated debentures

Industry Experience

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|--------------------------------|--------------------------------------|
| ✓ IT Outsourcing Services | ✓ Financial Services - Broker/Dealer |
| ✓ Hospitality – Public Company | ✓ Hospitality – Operational Finance |
| ✓ Restaurants/Food Service | ✓ International Companies |
| ✓ Casino Gambling | ✓ Horse Racing |

*Capital CFO Partners LLC is not a Certified Public Accounting firm.