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Professional Summary

Strategic finance, audit, and risk management leader with over two decades of diversified experience in **financial control, internal control, audit, enterprise risk management (ERM), and regulatory compliance**. Qualified CMA from ICMAB and **Chartered Accountancy Course Completed (CA-CC)** from the **Institute of Chartered Accountants of Bangladesh (ICAB)** under **Rahman Rahman Huq – a member firm of KPMG International**, with practical expertise in applying **IFRS, BFRS, IAS, ISA and Tax-VAT law** during high-impact audit and assurance engagements. Successfully completed audit working file for quality reviews conducted by international KPMG quality teams, ensuring strict adherence to global audit and documentation standards. Proven ability to align risk governance, financial reporting, and internal control, internal audit with strategic organizational objectives.

Key Achievements

- Ensured compliance with **IFRS, IAS, BFRS, and other applicable rules**, enhancing the integrity and reliability of financial reporting.
- Successfully completed audit working file for quality review assessments of audit file by international KPMG quality assurance teams, maintaining full compliance with global KPMG audit methodologies and professional standards.
- Spearheaded **ISO 27001 audit for certification**, enhancing information security governance across LankaBangla Finance PLC.
- Established and led a robust **Enterprise Risk Management (ERM)** framework aligned with Bangladesh Bank directives.
- Directed internal audits and compliance reviews across **corporate, SME, and retail divisions**, achieving measurable efficiency gains and cost savings.
- Introduced comprehensive **compliance including AML/CFT and branch rating systems**, strengthening regulatory alignment.
- Formalized **Complaint Management and Customer Satisfaction Frameworks**, improving process of several divisions eliminating redundancy with improved efficiency, transparency and service quality.
- Supervised **BASEL reporting, stress testing, and capital adequacy reviews**, reinforcing strategic financial oversight.

Professional Experience

Head of ICC & Head of Complaint Management Cell – LankaBangla Finance PLC

Acting Chief Risk Officer (Jul 2023 – Jul 2025)

Senior Vice President (since Jan 2024)

Period: Jul 2023 – continue (Head of Corporate Recovery from 3rd Nov 25 - present)

- Lead Internal Control & Compliance (ICC) including Internal Audit and Enterprise Risk Management (ERM) functions.
- Conduct risk assessment, prepare audit plan, lead the audit team, review the credit appraisal and clients' financials and non-financial risk and performance analysis, prepare audit report, present audit findings to the **Board Audit Committee**, prepare meeting minutes, circulation and ensure timely follow-up.
- Conduct process risk analysis, business process reengineering, and branch/divisional audits.
- Lead subsidiary companies (LBSL, LBIL, LBAMCL) audits – Accounts and operations and reporting to respective Board Audit Committee.
- Imparting training on AML, CFT, Tax, VAT, and others regulatory and internal compliance issues.

Achievement: Revitalized the Risk Analysis Unit, Revitalized the pre-disbursement audit on loan files, improved processes and policies formalized Complaint Management, and launched quarterly Customer Satisfaction Surveys, Division/branch audit rating.

Vice President & Head of Audit & Inspection Unit – LankaBangla Finance PLC

Jan 2022 – Jun 2023

- Directed risk-based audit planning and ISMS audit programs.
- Supervised BASEL Implementation Desk and review of regulatory reports.
- Introduced AML/CFT compliance programs and the **Whistleblowing Policy**.
- Achievement: Strengthened audit governance, enhanced process integrity, and reduced redundancy across operations.

Earlier Roles at LankaBangla Finance PLC (2010 – 2021):

- SAVP, AVP, FAVP, Sr. Manager & Manager – Audit & Inspection Unit under Risk Management Division
- Key Achievements:
 - Improved internal control and compliance frameworks.
 - Introduced audit risk-scoring models.

- Conducted detailed credit audits and compliance reviews ensuring IFRS/BFRS/TAX/VAT and other regulatory adherence.

Audit Assistant (CA Article Student- worked as Team in Charge) – Rahman Rahman Huq (KPMG Bangladesh) (2008 – 2010)

- Conducted external and internal audits for multinational and local corporate clients including **IDLC Finance Ltd., IPDC, Renata Ltd., DHL, G4S, Save the Children, and Swiss Red Cross.**
- Ensured compliance with **IFRS, IAS, BFRS, and ISA**, enhancing the integrity and reliability of financial reporting.
- Successfully completed audit working file for quality review assessments by international KPMG quality assurance teams, maintaining full compliance with global KPMG audit methodologies and professional standards.
- Participated in company valuations, risk assessments, and preparation of financial statements under IFRS.
- Drafted management letters and audit reports, and supported engagement managers in final client presentations.

Assistant Manager – Internal Audit – Gas Transmission Company Limited (GTCL) (2007 – 2008)

- Conducted internal audit on income, expenditure, assets, and inventories.
- Reviewed regulatory compliance and implemented control improvements.
- Tax and VAT deduction as per Tax law.
- Co-ordinate and liaison with regulatory audit team (government audit, external audit) and review the audit response of the respective division and advising for amendment and sending the same to the auditor.

Assistant Officer – Finance Division – Bakhrabad Gas Systems Limited (BGSL) (2000 – 2007)

- Managed revenue operations, bank reconciliations, and overdue monitoring, issuing bill & demand note.

Education & Professional Certifications

- **Fellow Member (FCMA)** – Institute of Cost and Management Accountants of Bangladesh (ICMAB)
- **Chartered Accountancy Course Completed (CA-CC)** – Institute of Chartered Accountants of Bangladesh (ICAB), *under Rahman Rahman Huq (KPMG Bangladesh)*
- **Certified Expert in Risk Management (CERM)** – BIBM & Frankfurt School, Germany

- Certified ISO/IEC 27001:2013 Lead Auditor (CQI & IRCA, UK)
- Certified Payment Industry Security Implementer (CPISI) – SISA Institute, India
- 2nd class in B. Com (Hons) & M. Com (Accounting) – University of Dhaka
- 1st division with 18th position in Board Merit list in Commerce group in HSC, 1st division in SSC.

Technical & Core Competencies

- Financial Reporting & Analysis | Strategic Planning & Governance
- Application of IFRS, BFRS, IAS, and ISA in Audit and Reporting & KPMG Quality Review Experience
- Risk-Based Audit | Compliance & AML/CFT
- Application of Tax and VAT rules and regulations
- Enterprise Risk Management (ERM) | ISO 27001 Implementation
- BASEL II/III | Process Re-engineering | Information Security Audit
- Leadership | Stakeholder Engagement | Regulatory Liaison
- MS Office (Word, Advanced Excel, Power point)
- Presentation of reports to Board audit committee and Risk Management Committee, Minutes writing and follow up of compliance

Soft Skills & Traits

- Professional skepticism and analytical mindset
- Proactive, collaborative, and integrity-driven leader
- Skilled communicator with Board and senior management

Declaration

I confirm that the information provided is true and complete to the best of my knowledge.

(Mohd. Shafiqul Islam FCMA)