

JUAN M. VASQUEZ

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• *Leadership* • *Professionalism* • *Unwavering Devotion to Duty*

PROFILE AND ACCOMPLISHMENTS

Juan has over ten years of experience in Information Security, Cybersecurity, Information Technology (IT), Operational Technology (OT), IT Audit, and IT Risk & Controls. As the Director of Information Security & Audit Services, Juan oversees Technology Risk & Controls for Quandary Peak Research and various clients in the Financial, Pharmaceutical, Manufacturing, Healthcare, and Insurance industry. Along with his corporate experience, Juan has served 16 years in the military. He serves as an IT Operations Manager and Exercise Planner in the United States Marine Corps Reserve.

Juan effectively combines technical and business acumen to coordinate system reviews and risk assessments with security, development, and operations teams. He is a collaborative and hands-on leader with excellent communication and interpersonal skills. He builds rapport with key stakeholders to deliver service excellence and ensure optimal security with operational efficiency and regulatory compliance. Juan has experience planning, coordinating, and executing security, privacy, audit, regulator, and compliance advisory engagements. He has a wealth of knowledge and experience in the private sector, focusing on Fintech, Digital Health, Medical Device Technology, and Biotech, as well as the government sector focusing on the Food and Drug Administration (FDA), the Department of Defense (DoD), and the Military.

Juan has led security and audit engagements worldwide in various technologies such as AWS Cloud, Internet of Things (IoT), Medical Device software and hardware, and Manufacturing Operational Technology. Juan is knowledgeable in information security and privacy regulations and standards, including GDPR, CCPA, HIPAA, HITRUST, NAIC-MAR, PCI, FIPS, NIST, ISO, SANS 20 CSC, OWASP, COSO, SOX, SOC 2, SOC 1, and COBIT 5.

PROFESSIONAL EXPERIENCE

Quandary Peak Research, Inc.

March 2022 - Present

Director of Information Security & Audit Services, Technology Risk Advisory Services

- Established the security-focused team for projects supporting our client's information security, cybersecurity, privacy, engineering, regulatory, and compliance needs.
- Provide department oversight and manage the yearly budget requirements and any proposal or bid for security and privacy services for private or public clients and government agencies.
- Manage the planning, fieldwork, and reporting deliverables for technology-focused security, privacy, audit, regulatory, and research projects for clients in various industries.
- Led the technology professionals team conducting technology risk assessments to identify and remediate technology control gaps in pre- and post-implementation of digital products.
- Established the advisory team and business development activities to support our client's technology risk and controls needed to help improve the security and safety of modern software in Health IT and Medical Device products.

JPMorgan Chase & Co.

February 2019 – March 2022

Senior Information Security Manager, Cybersecurity & Technology Controls

- Manage the risk and controls initiatives for 30 plus Wholesale Lending applications from various technology stacks, including AS400, Windows, macOS, and Linux. The 30-plus applications are hosted on the cloud, on-premises, or with vendors.
- Led the completion of all Wholesale Lending Technology (WLT) application Secure Design Reviews for various wholesale lending technology applications to proactively identify potential security threats commonly seen within an application and the infrastructure.
- Lead the source code security reviews for all WLT applications, focusing on discovering vulnerabilities such as design flaws, hard-coded passwords, exposed configuration settings, and cryptological issues. Code review focuses on coding flaws such as buffer overflows, invalidated inputs, and command injections.
- Manage vulnerability management processes for software vulnerabilities with a strong focus on Insecure Web Interfaces, including discovery and remediation of injection attacks, unprotected secrets, and privilege escalation vulnerabilities.
- Manage vulnerability management processes for software vulnerabilities, focusing on Insecure Software/Firmware, including discovery and remediation of firmware corruption and unsigned firmware-related vulnerabilities.
- Manage the security operations of all infrastructure, systems, and applications supporting Wholesale Lending Technology. Focus on oversight of CIS Critical Security Controls.
- Led the security operation initiatives to include threat intelligence, network visibility, endpoint security, malware analysis, and security automation.
- Partner with the application development teams as the security subject matter expert (SME) to implement and validate the security process, including input validation, authentication, authorization, data security, privacy, cryptography, auditing and monitoring, communication security, and availability.
- Partner with the application development teams as the security SME during the SDLC phases. The development focus is on implementing secure coding practices following guidance from OWASP Top 10 and SANS Top 25. Testing focuses on implementing dynamic application security testing, reverse engineering, debugging, and vulnerability test cases and scripts. The production focus is onboarding code to vulnerability tools and techniques to discover static and open-source issues.
- Support Identify and Access Management reviews for all WLT applications. The review scope is to identify toxic access combinations for critical applications based on business functions.
- Collaborated with technology audit partners to complete Technology Development Audits focusing on identifying gaps in development activities and application security practices such as vulnerability management and code review.

Baxter International Inc.

February 2017 - February 2019

Senior IT Audit Consultant, Corporate Audit

- Oversee, coach, and evaluate global and regional IT auditors on daily operational tasks and during IT audit engagements.
- Manage and support the annual Risk Assessment to identify IT Enterprise Risks to develop the yearly IT Audit Plan.
- Lead Auditor on the two-way, cloud-based telehealth software connectivity platform named Sharesource, developed by Baxter for renal business products. The scope of the audit included

understanding, reviewing, and identifying gaps in the governance strategy, the AWS Cloud Infrastructure Architecture and Design, the Application SDLC and Secure DevOps Controls, the Application Operations and Support model to include Maintenance and Threat Management processes, the review of critical Third Parties, and the review of implemented GDPR Data Privacy controls.

- Project Advisor on the Manufacturing Plant Cyber Risk Assessment addresses Baxter's growing concern over its manufacturing facilities' cyber readiness. The assessment scope included understanding the plants' operational technology (OT) and information technology (IT) environments and providing them with cybersecurity tools and processes to protect the plant assets and intellectual property effectively.
- Lead Auditor on the Medical Device Cybersecurity Program Audit is responsible for leading and conducting the audit deliverables. The audit scope included framework, governance, architecture and design, control portfolio, threat management, maintenance, coordinated response, third-party risk management, and training and awareness.
- Project Advisor on multiple global projects, including the Archer 2.0 Implementation, the McAfee Upgrade Implementation, the Workday Implementation, and the Global IT Policies and Procedures Refresh Project.
- Lead Auditor on multiple Commercial Office and Manufacturing Plant Audits. The audits' IT scope included reviewing the Data Center, Network, IT Asset Management, Logical Access, Interface Management, Change Management, Physical Security, Business Continuity, and Disaster Recovery.

KPMG LLP

February 2016 - February 2017

Senior Associate, Emerging Technology Risk Services

- Led and supported external and internal IT audits for companies in multiple industries, including testing and documentation for the Test of Design and Test of Operating Effectiveness of IT General Controls and Application Controls on various applications and OS platforms.
- Managed and supported multiple IT Audits to include Information Security, Network Security, Cybersecurity, Client Services, Business Continuity, and Backup Management Audits with the responsibilities of coordinating with various teams the planning, testing, and reporting deliverables.
- Directed and supported multiple Engagements, including SOX Controls Remediation and Testing, COSO Controls Testing and Remediation, SOC2 Controls Testing and Remediation, SOC2 Narrative Creation, and SOC2 Readiness Assessments.

Blue Cross Blue Shield of IL, MT, NM, OK, TX

August 2015 - February 2016

Lead IT Internal Auditor, IT Audit and Advisory Services

- Audit Staff in the 2015 Cybersecurity Audit is responsible for coordinating with multiple teams the planning, fieldwork, testing, and reporting of Secure Configurations for Network Devices for all externally facing Firewalls, Routers, and Switches.
- Audit Staff in the 2015 General Controls Audit is responsible for coordinating the planning, fieldwork, and reporting for Incident Management, Release Management Mainframe, and Operations Midrange AS400.
- Audit Staff in the 2015 Application Interface Audit is responsible for Auditing multiple Mainframe and Distributed Interfaces for adequate Data Integrity Controls.

- Subject Matter Expert for the Audit Team for Data Integrity Controls includes ACR Controls, Assure Controls, and the Insight Application.
- Responsible for conducting audits on new and existing Financial Information Reporting Systems, Applications, and Projects to evaluate if Data Integrity Controls are needed or required per the Data Integrity Policy and ensure that Controls meet NAIC-MAR audits requirements.

Blue Cross Blue Shield of IL, MT, NM, OK, TX

June 2014 - August 2015

Business Systems Analyst, Data Integrity Solutions Center of Excellence

- Project Lead in the ACR Upgrade Project is responsible for coordinating multiple teams to test and implement upgraded software for ACR Controls.
- The Project Lead is responsible for advising senior management and coordinating process improvements for existing SDM Documentation. As a result, Data Integrity Controls Review is now a requirement for all SDM Projects.
- Formulating and defining systems, applications, and projects scope and objectives.
- Conduct analysis of business and user needs; develop requirements and design work and revise existing system logic for Data Integrity Controls.
- Design, develop, and implement balancing, duplicate, and missing file automatic controls for Financial Information Reporting Systems, Application Teams, and Project Teams.
- Troubleshoot Data Integrity Controls for various Financial Information Reporting Systems, IT Teams, and Business Teams to resolve software defects and control defects and system architecture issues.
- Manage AIX, Windows, and MVS Servers applications in a DEV, TEST, and PROD Environment.

MILITARY EXPERIENCE

United States Marine Corps

July 2005 - Present

Director of IT Operations & Exercise Planner

- Over sixteen years of leadership experience with the responsibilities of leading and mentoring Marines during active duty, monthly drill periods, and annual training exercises.
- Oversee, coach, and evaluate 80 plus Marines during monthly drills and annual training exercises.
- Deployed in support of Operation Enduring Freedom (OEF-11-12) as a Crew Chief responsible for implementing and operating the Combat Operation Center.
- Project Manager in multiple IT, logistical, and operational multi-million-dollar projects that required tracking of equipment, personnel, hardware, and software.
- Ten years, supporting multiple government and civilian agencies in developing, testing, and implementing updated Air Defense and Air Support software.
- Over sixteen years of IT C4I Systems experience, including managing C2 Systems in Operations, Emplacement, Networking, and Troubleshooting.
- Systems expertise with C2PC, TBMCS, CPOF, and CAC2S.

LEADERSHIP EXPERIENCE:

Operations Chief - Section Chief - Crew Chief – Platoon Sergeant

- Over sixteen years of leading, coaching, and mentoring Marines during active duty, monthly drill periods, and annual training exercises. Led a Squadron/Battalion level section of 150 plus Marines operationally during combat operations and training exercises.

Project - Audit Lead

- Over ten years of experience leading projects and audit teams (5 – 30 members) in various industries across multiple geographic regions focusing on tech risk and controls.

Senior Information Security Manager

- Manage and mentor 15 plus information security professionals responsible for managing day-to-day security operations and implementing technology controls.

LITIGATION & IP CONSULTING

- **Vound Colorado, LLD & Vound Colorado, LLC v. E-Hounds, Inc. - 04/2022 – Present**
 - Case Number: **1:21-CV-00849-UNA**
 - Jurisdiction: **US District Court of Delaware**
 - Counsel: **Marshall Dennehey Warner Coleman & Goggin**
 - Retained By: **E-Hounds**
 - Nature of Suit: **Trademark Infringement & Breach of Contract**
 - Services Provided: **Code Review & Contract Review**
 - Technology: **While-label software, HASP Licensing**
- **Cryptocurrency Pre-litigation Investigation - 05/2022 – Present**
 - Case Number: **N/A**
 - Jurisdiction: **US District Court of Texas**
 - Counsel: **Todd & Weld LLP**
 - Retained By: **Counsel**
 - Nature of Suit: **Computer Fraud, Wire Fraud**
 - Services Provided: **Code Review, Breach Review, Security Audit Review**
 - Technology: **Algorand Blockchain, Tinyman Smart Contracts**

TECHNICAL VETTING / DUE DILIGENCE CONSULTING

- **ThirdwaveRx (August 2022)**
 - **Startup M&A**
 - **Technologies:** .NET, CSHTML, JavaScript, Angular, Typescript, SQL, Azure Cloud
 - **Technology Focus Areas:** Source Code Evaluation, SDLC Assessment, Architecture Assessment, Post-Merger Integration, Data Engineering, Application Performance & Monitoring, OSS License Analysis, and Key Team Member Interviews
 - **Information Security & Privacy Focus Areas:** OSS Vulnerability Analysis, InfoSec & Privacy Program Review, Tech Resiliency Controls, and I&AM Controls

EDUCATION

Master of Cyber Forensics and Security

Illinois Institute of Technology, Chicago, IL

Bachelor of Science

Lewis University, Romeoville, IL

Major: **Information Security and Risk Management, MIS, and Finance**

Certification: **Certified Information Security Manager (CISM) – Certification #1839862**

Certification: **Certified Information Systems Auditor (CISA) – Certification #17138762**

HONORS

Latinos 40 Under 40 award recipient for the Chicago Class of 2021 awarded by Negocios Now

2019 *Global Hackathon Winner in Chicago* awarded by JPMorgan Chase & Co.

2018 *Thought Leader of the Year* award recipient awarded by Baxter International Inc.

2017 *Technical Auditor of the Year* award recipient awarded by Baxter International Inc.

2013 *Fifty for the Future Technology* award recipient awarded by the Illinois Technology Foundation

Outstanding Volunteer Services Medal awarded by the United States Marine Corps

Navy and Marine Corps Achievement Medal awarded by the United States Marine Corps

5th Award *Selective Marine Corps Reserve Medal* awarded by the United States Marine Corps

National Defense Service Medal awarded by the United States Marine Corps

Global War on Terrorism Service Medal awarded by the United States Marine Corps

Armed Forces Reserve Medal with Mobilized & Hourglass Device awarded by the United States Marine Corps