



James Hardaway, Jr.

Current Employer-Title MalShield LLC - Managing Member
Integral Financial PC - Managing Director/Consultant

Profession Accountant, Consultant, Educator

Work History Managing Director/Consultant, Integral Financial PC, 2004-Present; Managing Member, MalShield LLC, 2018-Present; Vice-President, Citibank Fund Services, 2004-2010; Accountant/Compliance Examiner, United States Securities and Exchange Commission, 1995-2004; Director of Accounting, Daughters of Charity Hospitals, 1988-1990; Supervisor of Accounting, Humana Inc., 1985-1988; Educator, Mercer University and Middle Georgia State University, 2017-2019; Educator, University of Louisiana, 2013-2015; Educator, Governors State University/Prairie State College/South Suburban College, 1997-1999.

Experience As a compliance consultant, experienced in federal and state regulatory registrations for broker-dealers, investment advisers, mutual funds, and insurance companies. Assisted with implementation and management of their compliance programs. Subject matter expert on compliance of mutual funds, private equity funds, and hedge funds. Independent compliance consultant for multi-billion assets under management Respondents to Administrative Law Judges' Consent Decree Orders. SEC mock-exams and chief compliance officers' annual reviews.

As a Healthcare Consultant, Chief Compliance Officer, Chief Financial Officer: developed and wrote compliance manual, patient billing procedures, human resources manual, federal grant applications, and service contracts. Member of telemedicine computer program development and implementation team. Patient billing program administrator. Georgia Pro Se Plaintiff Litigator at lower civil court involving contractual issues.

At Citibank Fund Services, directed strategy and operations for a top client on joint cash accounts, asset segregation, regulatory examinations, and tax reporting. Designed a modular training curriculum for junior and senior compliance analysts, and multi-department market timing monitoring services. Member of the executive committee directed to enhance and improve inter-departmental and management/associates' communications, and the rules committee to research and implement new regulations impacting the company. Author of the accredited financial industry and Citi senior executives' international compliance quarterly newsletter.

During tenure at United States Securities and Exchange Commission, examiner of mutual funds, hedge funds, transfer agents, investment advisers, and insurance companies for compliance with federal securities laws. Developed a software program to enhance the review of registrants' trade blotters for churning, window

dressings, insider trader, and other examination focus areas. Member of senior management task force teams whose goals were to implement strategic directives. Revamped policies and procedures for auditing techniques, inspection logistics, and team synergism. Assisted attorneys on critical and complex issues such as initial public offerings, and disclosure of contractual arrangements.

Supervised general ledger, accounts payable, and payroll functions at St. Joseph Hospital. Assisted in financial reporting, budget preparation, and analysis of hospital management exception reports. Implemented a company-wide major computer conversion of the general ledger and accounts payable accounting systems.

At Humana, Inc., improved the effectiveness of accounting services by developing reports on patient financial activity, interest on investments, and cost classifications for government contracts. Designed the first computerized accounting system for research funds. Compiled special cost reports for negotiations on managed care and government reimbursement contracts. Compiled and submitted to the federal government indirect cost proposals, which reclassified overhead costs in accordance with federal regulations.

Educator: Undergraduate-level courses: Financial Accounting, Cost Accounting, Advanced Accounting, Investments, and Income Taxes. Graduate-level courses: Management Accounting, and Certified Public Accountant Examination Study Course.

Pro Se Plaintiff Litigator: lower and higher civil courts in Illinois, Tennessee, Ohio, and Georgia, involving numerous consumer issues with suppliers and service providers, involving services, products, and contracts.

Alternative Dispute Resolution Experience

United States Securities and Exchange Commission, National Treasury Employees Union, Chapter 293, Vice President, - United States Securities and Exchange Commission.

Member of Negotiators Panel for the first Collective Bargaining Agreement. The agency has over 4,300 employees of majority attorneys with an annual budget of \$2.15 billion.

National Treasury Employees Union, Chapter 293 - SEC, member of negotiators panel for writing a successful proposal for obtaining congressional approval for employees' over 20% average pay increase.

National Treasury Employees Union, Chapter 293, Board of Trustees Member - Chicago SEC Regional Office.

Negotiated the logistics and planning for the Chicago SEC Office's move of 300 employees to another location.

Negotiated employees' grievances and disciplinary actions in accordance with the collective bargaining agreement.

Negotiated numerous consumer issues with suppliers and service providers, involving services, products, and contracts.

Professional Licenses	Georgia Court Mediator, 2022, Georgia Notary Public.
Professional Associations	Association for Conflict Resolution, Healthcare and Commercial Groups; Association of Certified Fraud Examiners; The Institute of Certified Management Accountants; American Institute of Certified Public Accountants.
Education	Governors State University (MBA-1997); Northern Illinois University (BS, Accounting, Finance-1977).
Citizenship	United States of America
Languages	English
Locale	Macon, Georgia, United States of America