

## Rajan Oberoi, CA, CIA, CFE

Rajan is an accomplished audit and risk professional with more than 20 years of experience specializing in Governance, Risk Management and Compliance (GRC), SOX compliance, internal audit, and business process improvement. He has supported public and private companies across multiple industries, helping organizations strengthen controls, improve financial reporting quality, and drive operational effectiveness through risk-based audit and compliance programs.

### Credentials & Expertise

#### Expertise

- ◆ SOX Compliance & Controls Transformation
- ◆ Internal Audit Leadership
- ◆ Governance, Risk & Compliance (GRC)
- ◆ IT General Controls (ITGC) & Systems Risk
- ◆ ERP Implementation & Process Optimization
- ◆ Financial Reporting & Controls Testing
- ◆ Business Process Improvement
- ◆ Risk Assessment & Remediation
- ◆ Audit Program Development
- ◆ Leadership & Mentorship

#### Industries

- ◆ Technology & Software
- ◆ Private Equity
- ◆ Oil & Gas / Energy
- ◆ Specialty Chemicals
- ◆ Financial Services / Mortgage Banking
- ◆ Marketing / Professional Services

#### Education

- ◆ Bachelor of Commerce (Honors), Delhi University

#### Associations & Certifications

- ◆ Chartered Accountant (CA)
- ◆ Certified Internal Auditor (CIA)
- ◆ Certified Fraud Examiner (CFE)

#### Highlights

- ◆ **Independent Consultant**, SOX and Internal Audit
- ◆ **Breitburn Energy Partners L.P.**, Internal Audit Manager
- ◆ **Control Solutions International Inc.**, Internal Audit Manager
- ◆ **KPMG (India)**, Senior Auditor

#### Achievements

- ◆ Led global SOX compliance and audit programs across complex organizations, strengthening controls and improving reporting quality.
- ◆ Managed internal audit and special projects such as financial reporting reviews, due diligence, and ERP implementation support.
- ◆ Served as a subject matter expert on ERP implementations, supporting process design, controls integration, and post-implementation improvements.
- ◆ Collaborated with external auditors and executive leadership to enhance audit efficiency, strengthen risk management, and improve regulatory compliance.
- ◆ Provided leadership and mentorship to audit teams, elevating documentation quality and overall audit execution.

For over 15 years, BGA has proudly filled the gap that often exists between accounting firms striving to maintain independence and their clients. We understand the compliance requirements and needs of our public and private clients. Our unwavering commitment to excellence has enabled us to assist thousands of domestic and international companies with everything from complex M&A transactions to IPOs and technical accounting for financial reporting.

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### Experience

SOX and Internal Audit Consultant ◆ 2017 to present

#### Key Engagements:

09/2023 - 12/2023

**Public gas distribution company engaging in the production & distribution of renewable natural gas with over 350 facilities nationwide.**

- ◆ Managed SOX compliance efforts for critical business processes including business process documentation, controls testing, and remediation of control deficiencies.
- ◆ Performed special projects including the review of quarterly financial disclosures, significant transactions, contracts review in compliance with ASC 606 and user access review (UAR) on various critical accounting in-scope systems.
- ◆ Provided guidance and mentorship to the audit staff for their continued professional growth, higher quality documentation and service delivery.
- ◆ Audit System: Workiva

07/2022 - 03/2023

**Public company in renewable energy equipment industry operating in over 35 states.**

- ◆ Assisted internal audit group with their SOX compliance efforts including SOX scoping, business process documentation and flowcharting, controls testing, remediation of controls deficiencies and reporting of control effectiveness.
- ◆ Areas of responsibility included critical business processes like fixed assets, equity awards, hire to retire, leases, procure to pay, quote to cash, significant & unusual transactions, record to report, tax, and treasury. Identified key reports and critical spreadsheets utilized in all in scope business processes ensuring controls are identified and effectively working.
- ◆ Audit System: AuditBoard

10/2018 - 02/2019

**Publicly traded private equity that owns and manages diverse portfolio of middle market business with estimated revenue of \$2B.**

- ◆ Assisted internal audit group with their SOX compliance & internal audit efforts for their multiple business locations.
- ◆ Performed internal audit and other special projects as requested by the audit management.
- ◆ SOX compliance efforts included business process documentation, controls testing, and remediation of controls deficiencies.
- ◆ Visited multiple business locations and advised local management on achieving effective compliance.

11/2017 - 03/2018

**Public company with global operations in specialty chemicals industry with estimated revenue of \$8B.**

- ◆ Assisted the accounting management team in reviewing and evaluating the performance of their global SOX compliance efforts, with the objective of achieving qualitative improvement aligned with best industry practices.
- ◆ Coordinated with the business location heads in various countries across continents and assisted them in understanding and organizing the company-wide SOX compliance efforts.
- ◆ Assisted the accounting management team with the SOX scoping, process documentation, controls testing, remediation of control deficiencies and reporting of control effectiveness.
- ◆ Provided oversight and review of ITGCs.

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### Experience



Breitburn Energy Partners L.P. (NYSE: BBEP)   ◆  Internal Audit Manager – 2009 to 2016

- ◆ Led end-to-end SOX compliance programs including annual audit planning, scoping, documentation, controls testing, remediation, and reporting of control effectiveness, applying a top-down, risk-based approach under COSO 2013 and driving continuous program improvement.
- ◆ Performed internal audit and special projects including due diligence, reviews of accounting and field operations, EHS practices, and 10-Q/10-K filings, while executing substantive testing of high-risk processes in coordination with external auditors.
- ◆ Served as a subject matter expert on a company-wide ERP implementation, supporting process design, controls integration, post-implementation review, and issue resolution.
- ◆ Oversaw SOX ITGC and IT risk management, including monitoring and testing of critical spreadsheets and key reports to ensure control effectiveness.
- ◆ Collaborated closely with external auditors to plan and execute annual audit activities, improving efficiency and minimizing disruption to process owners.
- ◆ Led the transition of internal audit from paper-based to technology-enabled documentation, improving audit efficiency and scalability.
- ◆ Provided leadership, guidance, and mentorship to audit staff, supporting professional development and strengthening overall audit execution.



Control Solutions International, Inc.   ◆  Internal Audit Manager – 2007 to 2009

- ◆ For various clients, managed SOX compliance efforts including the preparation of the internal controls' documentation, performing controls testing, evaluating exceptions and deficiencies, and reporting on the effectiveness of controls to management. Performed SOX ITGC review and IT risk management.
- ◆ Client industries included Marketing company, Oil & Gas partnerships, Electricity and Natural Gas Marketing company, etc.



KPMG (India), and other consulting firms   ◆  Senior Auditor – 2003 to 2007

- ◆ Worked on special projects including cost audits, forensic audits, and litigation support.
- ◆ Assisted with formulation of accounting policies and procedures, SOX readiness review.
- ◆ Across multiple industries performed internal audit projects including review of the monthly MIS reporting, production review, procurement analysis & stores management, and accounting & finance review.

### Contact Us

**Blythe Global Advisors, LLC**

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