

# SETON HALL | LAW

Healthcare Compliance  
Certificate Program

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## **Prashant Oza**

*Area Director - Office of Ethics and Compliance –  
Central and Eastern Europe, Russia, Middle East, &  
Africa*

Allergan Aesthetics, An AbbVie Company (Dubai, UAE)  
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A Chartered Accountant from India having more than 16 years of experience in Governance and Compliance for multinational Pharma companies. Prior to that, have 4 years of experience as an internal and external auditor, with Big 4 and in-house audit departments of Fortune 50 companies, with a strong business acumen, and problem-solving approach.

### **WORK EXPERIENCE:**

**Organization** : Allergan Aesthetics, An AbbVie Company  
**Location** : Dubai, UAE  
**Designation** : Area Director - Office of Ethics and Compliance – Central and Eastern Europe, Russia, Middle East, and Africa  
**Time Period** : Since May 2020

#### **Summary of work Experience:**

As part of the EEMEA Leadership team, currently responsible for implementation of Compliance and Governance framework across EEMEA region, coordinating with functional and country leads.

**Organization** : Allergan Middle East Ltd.  
**Location** : Dubai, UAE  
**Designation** : Regional Compliance Lead – India, Middle East, and Africa Region  
**Time Period** : November 2018 – April 2020

#### **Summary of work Experience:**

As part of the IMEA Leadership team, was responsible for implementation of Compliance and Governance framework across IMEA region, coordinating with functional and country leads.

**Organization** : Pfizer Inc.  
**Location** : Dubai, UAE  
**Designation** : GRCC Regional Lead – Africa, Middle East & India Region

**Time Period : January 2017 – October 2018**

**Summary of work Experience:**

Responsible for leading GRCC initiatives for Africa, Middle East and India region for Pfizer.

**Organization : Kuehne + Nagel MEA LLC**  
**Location : Dubai, UAE**  
**Designation : Regional Compliance Director, Middle East, and Africa**  
**Time Period : March 2016 – January 2017**

**Summary of work Experience:**

Reporting to the Global Chief Compliance Officer, was responsible for leading Compliance function initiatives for Middle East and Africa operations for Kuehne + Nagel.

**Organization : Pfizer Gulf FZ LLC,**  
**Location : Dubai, UAE**  
**Designation : Controls, Compliance and Risk Lead – Gulf & Levant States & AfME Regional Office**  
**Time Period : Feb 2012 – Feb 2016**

**Summary of work Experience:**

As part of Global Risk, Compliance and Controls (GRCC Function), currently responsible for leading Controls, Compliance, & Risk function for Gulf & Levant States and AfME Regional Office.

**Organization : Johnson & Johnson Limited, Mumbai, India**  
**Location : Mumbai, India**  
**Designation : Sr. Manager - Compliance**  
**Time Period : June '08 to Jan'11**

**Summary of work Experience:**

As Senior Manager – Compliance, Janssen Pharmaceuticals, Johnson and Johnson Limited, directly was reporting to Vice President Finance (CFO), responsible for following:

- In Finance audit and compliance role, responsible for ensuring compliance with SOX, Worldwide Accounting policies, Records Management Policies, rolled out worldwide for Johnson & Johnson. Also responsible for internal audit function for the division – determination of scope of internal audit coverage in discussion with management, planning the audits and issuance of reports to management, training process owners on control aspects like segregation of duties etc.
- In healthcare compliance role, responsible for training the organization on healthcare compliance policies rolled for Johnson & Johnson, developing processes and system, conducting testing, etc. to ensure effective roll out of HCC policies and procedures.

**Organization : Pfizer Inc. (Corporate Audit Department)**  
**Location : Mumbai, India**  
**Designation : Acting Supervisor**  
**Time Period : Sept '06 to May '08**

### **Summary of work Experience:**

As senior financial auditor performed financial and nonfinancial audits at various markets throughout Pfizer divisions including: WPO France, Netherlands, Senegal, Taiwan, Japan, Ireland, Puerto Rico, Italy, Czech Republic, Slovakia, Belgium, Thailand, HCC audits like WPO Clinical Trials, etc.

**Organization** : PricewaterhouseCoopers (Lovelock & Lewes)  
**Designation** : Senior Auditor  
**Department** : Assurance and Business Advisory Group  
**Duration** : Mar'2004 to Aug'2006

### **Summary of work Experience:**

As a Senior Auditor, have worked on following external and SOX audits such as:

#### **Sarbanes Oxley Compliance Audit**

OTIS Elevator Company India Ltd.  
Johnson & Johnson Ltd.

#### **Statutory Audit & Tax Audit**

Johnson & Johnson Ltd.  
DePuy Medical Private Ltd. (Group Company of Johnson & Johnson Limited)  
Bharti Cellular Ltd.  
Britannia Industries Ltd.  
Britannia New Zealand Foods Private Ltd.  
L'Oreal India Private Ltd.

**Organization** : Aneja Associates  
**Designation** : Auditor  
**Department** : Internal Audit  
**Duration** : Mar'2003 to Feb'2004

### **Summary of work Experience:**

I was part of Team performing internal audits of listed and private companies in India.

### **EDUCATIONAL QUALIFICATION:**

- Chartered Accountant, India: November 2002
- CPA (non-member) from Colorado State Board, USA: February 2008
- Bachelor of Commerce (B. Com) from Mumbai University.