**Sameer Sinha**

**Functional Consultant OFSAA – AML & KYC**

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# **Career Objective**

Looking forward to work for an organization that offers a challenging, motivating, learning environment to work in and provide scope for individual development, which offers attractive prospects for long-term personal development and career growth

**Summary**

* Dynamic and experienced professional offering around experience in the field of Banking Risk and Compliance domain and Insurance
* Strong understanding and knowledge of Anti Money Laundering and Know your Customers
* Experience over transaction monitoring requirements and process
* Experience into Customer On-boarding process and rules
* Experience into cash management services
* Functionally Trained on Oracle’s OFSAA Financial Crime & Compliance Management (FCCM)
* Strong knowledge on OFSAA suite of applications related to Financial Crime, AML, KYC, GRC, Regulatory and Compliance
* Sound knowledge over different AML and Fraud Scenarios, monitoring and screening
* A keen and passionate planner with excellence in establishing & managing the host of banking processes, operations and reporting
* Passionate banker, consultant and analyst
* Acknowledged for unwavering commitment in providing exceptional customer service and established a professional work environment based on respect

## **Career Profile**

**Helius May 2019 – Till Date**

**Job Profile: Functional Consultant OFSAA- AML & KYC**

* Currently working and advising on drafting different risk and compliance processes for a leading Japanese Bank
* Currently working on Shensi Bank Project OFSAA FCCM AML & KYC
* Designed and developed process documents for different banks, ensured proper mappings of their compliance processes, FTE level mappings of processes and activities
* Imparting training to technical staff on KYC, AML( Anti Money Laundering), Fraud Management, FATCA & other Financial Crime & Compliance Management Solutions to facilitate effective & efficient implementation of compliance framework and solutions
* Identifying banking AML/Fraud/Compliance requirements and configuring the functionality of the system with the same
* Managed and Participated in requirements discussion meetings with clients
* Prepared several test cases for Network Visualization and Link Analysis
* End to end testing of AML, TC and Fraud related scenarios
* Monitoring and analysis of ingestion process and historical data loading for AML and KYC
* Optimization of productivity by setting clear expectations and proactively communicating objectives, project status, issues, tasks and risks to internal stakeholders and senior management
* Carrying out gap analysis of existing framework during on boarding/implementation stage
* Preparing control data of Anti Money Laundering, Fraud and Trading Compliance Scenarios
* Formulation of relevant Procedure Manuals and Reference Material for implementation of compliance frameworks and solutions in accordance with industry best practices and regulatory norms and guidelines worldwide
* Drafting Analysis Documents, Functional Design Documents, Training Manuals and other deliverables as required by the client
* Overseeing and collaborating with technical team for the creation of reports in accordance with bank’s internal and regulatory requirements
* Training to colleagues and peers on banking processes and business requirements
* Lessoning with client’s management and communication of relevant matters to persons at appropriate level of responsibility
* Actively supporting sales pipelines for OFSAA- FCCM applications by way of support in preparation of RFP’s, other sales materials and even by way of writing blogs over organization website and other available channels

**Shensi Bank - Japan**

**Designation: Functional Consultant, Project Description: OFSAA FCCM (AML, & KYC)**

**Key Responsibility**

* Preparation and analysis of business requirement documents, AT and other deliverables
* Data analysis and mapping basis the requirements
* Configuration and implementation of OFSAA- FCCM/AML & KYC
* Configuration and implementation of different AML scenario’s as per client’s requirements
* Mapping of business information and investigation information to the applicable business/jurisdiction specific reporting requirements
* Involved in various activities during implementation like Data Mapping, Data Extraction from various source systems
* Preparation of control data for AML, TC and Fraud related scenarios
* End to end testing of AML, TC and Fraud related scenarios
* Development of scenario test cases based on client’s requirements and systems functionality
* Ensure best practices are applied and integrity of data is maintained through security, documentation and change management
* Participated and managed business user training to the end users

**HDFC Bank Oct 2016 – Till Date**

**Job Profile: Deputy Manager**

* Managing the Operational and Sales processes from initial point of contact
* Ensuring entire process for customer on-boarding are adhered to (like identity, address, profiling, occupation and other risk parameters are being checked)
* Responsible for ensuring entire KYC processes are adhered to without any exception at the time of account opening and subsequently on case basis
* Ensuring KYC/AML compliance for each account sourced
* Ensuring proper dedupe with internal and external watch lists while account opening and during suspicious transactions
* Monitoring of regular KYC and AML alerts, carrying out investigation if needed on KYC cases and AML alerts
* Review, analysis and investigation of all Suspicious and Large transaction reports
* Quarterly reporting of approved suspicious activity to FIU(regulator)
* Managed all assets/liabilities product of bank while ensuring KYC/AML, banking compliance and regulatory compliance and other circulars are adhered to
* Review all critical reports, monitor cash levels, fraud control, etc
* Responsibility to ensure processes related to Operation, Internal Audit and Compliance are being followed
* Supervising all Non-Cash transactions like DD/MC, fund transfer etc
* Review reports like End of day (EOD) cash position report, Instruments issued etc
* Monitoring of dummy accounts, suspense accounts, deferred accounts, accounts payable/ receivable, Reconciliation and maintenance of suspense accounts

**Surya Software System Pvt Ltd** July 2016 – Oct 2016

**Job Profile: Finance/Functional Analyst**

* Preparation of Business requirement documents with my expertise in banking, financial services and accounting processes
* Providing training and knowledge transfer to team members and end users at client’s site on Anti Money Laundering, KYC, Watchlist Management
* Got a chance to advise on their in-house product on Fixed Asset Management (FAM)
* Briefly Part of the team for implementation of Surya Softs Fixed Asset Management Solutions at a leading public sector bank at Tamil Nadu
* Configuration and setting up of different parameters
* Creation and configuration of different Asset Group, Sub Group and Assets basis profiling

**Kotak Securities Ltd**  October 2015 – July 2016

**Job Profile: Deputy Manager/ Cluster Manager**

* Lead a result-oriented team and is responsible for six branches of Kotak Mahindra Bank Ltd
* Managing the Trading and Investments Products Sales and Operation for allotted branches of Kotak Mahindra Bank Ltd
* Ensuring high quality service and Customer Relationship Management
* Ensure better revenue through different levels of margin from trading account
* Managing sales and operational requirements related to Third Party Products like Life Insurance, General Insurance, MF’s and Loans
* Responsible for KYC and AML guidelines and its compliance for different investments products
* Managing entire trade operations and its services at allotted branches and ensure all the internal audit compliances are adhered to
* Ensure Compliance with trading and securities guidelines issued by different regulators
* Ensure clarity of Business objectives among staffs, Periodic review of Business objectives among staff
* Prepare budget and achievement reports on daily, weekly, monthly sales
* Achieving the business targets assigned in terms of cross selling, enhancing & upgrading the HNI relationships

**Apex Funds Management**  March 2013- July 2015

**Job Profile: Fund Accountant**

* Responsible for Fund administration and fund accounting including, Fixed Asset management and reconciliation of portfolio to arrive at the accurate figures
* Handling KYC of international clients
* Strong knowledge on fund accounting, security monitoring, reconciliation, portfolio analysis
* Responsible for Creation of assets group, sub group ,Creation of asset , Addition to asset , Revaluation of asset , Insurance of asset , Depreciation of asset and disposal of assets
* Managed and worked on different financial instruments like equities, bonds, futures, options, swaps and dealt with different treatments and intricacies relating to these financial instruments
* Preparing cash and position, forward, Dividend, due to due from reconciliation statements on daily and monthly basis
* Strong knowledge on PFS PAXUS
* Communicating with the Offshore and onsite team on daily basis through different channels like emails, phone calls etc for resolving any issues or getting confirmation relating to any query
* Meeting the deadline adhering to jurisdiction compliances for offshore clients
* Managing the overall activities of the team in the absence of line manager to ensure the daily activities which includes preparing work allocation tracker, performing the process work, maintaining error logs, reviewing and signing off the deliverables
* Supervising the new joinee and troubleshooting their problem and helping them to learn the process
* Imparting training to the new joiner for making them up to date with the process work.

**V.K. Associates** October 2011 – February 2013

**Job Profile: Account Executive**

* Responsible for Maintenance of day to day operations
* Responsible for the management of Fixed assets
* Depreciation Calculation of Fixed Assets
* Involved in Transaction Processing on daily basis
* Involved in invoice processing on daily basis
* Help and learnt audit reports during the course of my work
* Strategic analysis and weekly report generation for the management
* Regular communication and client management related to billings and pending invoices

##### **Educational Background**

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| --- | --- | --- | --- |
| Degree | Institute/School |  | Year of Passing |
| MBA | EIILM-Delhi |  | 2011 |
| B.Com | T.M. Bhagalpur University |  | 2007 |
| Higher Secondary | B.I.E.C |  | 2004 |
| Secondary | C.B.S.E |  | 2002 |

### **Certified Courses**

1. Certificate in Web Application (CWA) Six months
2. OFSAA FCCM(Functional)
3. AML & KYC (IIBF)
4. AMFI(Dealer’s Module)
5. Certificate in Security Markets by Kotak securities
6. Certificate in KYC/AML by HDFC

### **Awards/Achievement**

* Got appreciation from Senior Management team for properly following laid down processes related to KYC
* Ensured top ratings on compliance processes for designated branch
* Got several appreciations from overseas client on security monitoring and reconciliations for quality and creating a new benchmark TAT for the work
* Got appreciation for correcting five year back wrong record in four months by overseas client
* Got regular appreciation for reducing time for reconciliation
* Successfully Optimized Reconciliation Process
* Best Role Player award from EIILM
* Participate in various competitions like debates, essay writing, cultural events, business quizzes & inter college skits
* Appreciation for the preparation of user manual of FAM (FIXED ASSET MANAGEMENT) application

### **Strength**

* Excellent communication & interpersonal skills
* Zeal to learn & excel in all fields
* Capable to handle challenges
* Strong on AML/KYC processes and technology
* Strong knowledge of Fixed Asset Managements
* Strong knowledge of Security Reconciliation
* Knowledge of Derivatives, Futures, Option and Contract.

### **Personal Information**

Name : Sameer Sinha

Father Name : Prem Chand Sinha

Date of Birth : 28th August 1986

Marital Status : Married

Permanent Address: Patna, Bihar

### **Reference**

On request

**Date: 28th Feb 2019**